



Maricopa County

Office of Management and Budget –
Policy and Compliance

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To: Max Wilson, Chairman, District 4
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Don Stapley, Supervisor, District 2
Andy Kunasek, Supervisor, District 3
Mary Rose Wilcox, Supervisor, District 5

Via: Sandi Wilson *[Signature]*
Deputy County Manager

From: Rebekah Francis *[Signature]*
Policy and Compliance, Office of Management and Budget

Date: April 30, 2012

Subject: 3rd Quarter FY 2012 Report on the Status of the Resolution of the Board of Supervisors of Maricopa County Concerning the Oversight and Review of the Maricopa County Sheriff's Department

On June 20, 2011 the Board of Supervisors passed the attached "Resolution of the Board of Supervisors of Maricopa County Concerning the Oversight and Review of the Maricopa County Sheriff's Department" (the "Resolution"). See Attachment 1. Pursuant to Section 6 of the Resolution the Office of Management and Budget ("OMB"), in concert with the Maricopa County Sheriff's Office ("MCSO"), Internal Audit, Risk Management and the Office of Enterprise Technology ("OET") (collectively the "Tasked Departments"), submits this report as the Quarterly Report for the 3rd Quarter FY 2012.

IMPLEMENTATION PROCESS

Representatives from each Tasked Department continue to meet every third week to discuss the actions of sub-groups in the previous weeks. Although they are not "tasked departments", both the Maricopa County Attorney's Office and the Office of Procurement Services continue to provide assistance. Their assistance is very much appreciated.

REPORT OF RESOLUTION TASKS

A review of each of the Resolution tasks and the progress made since the last report is discussed below.

I. **INTERNAL AUDIT – Responsible Parties: Ross Tate (Audit)/Various (MCSO)**

10 audits (listed below) are scheduled to be complete in the current calendar year. In October, three audits were reported to be complete by January 2012. Audit now reports that all five are complete. The remaining scheduled audits should be completed by fiscal year 2015 (total of 29).

Audits with Estimated Dates of Completion:

IT Inventory Review	Complete
IT Software Licensing	Complete
Vehicle Usage Follow-Up	Complete
Risk Assessment	Complete
Jail Management System	Awaiting MCSO response
Data Center Review	Complete
Patrol IGA Review	June 2012
Payroll	June 2012
Payroll System	July 2012
Pragmatica Contract	September 2012

Currently the Jail Management System audit is complete and is awaiting a response from MCSO before it is finalized. Internal Audit anticipates reviewing MCSO's response by April 30. The Payroll audit is underway with fieldwork being done presently. The Patrol IGA Review audit is also in the fieldwork stage.

The Payroll system audit is not specifically identified as an MCSO audit but encompasses the totality of the HRIS implementation through ADP.

The Resolution added two additional employee positions to Internal Audit to assist in completing the planned audits. Those positions are filled and the employees are working hard.

There are no areas of concern in the completion of these audits. MCSO is cooperating and providing all necessary documents and information for the Internal Audit professionals.

II. FINANCIAL CONTROLS

A general overview of the review completed during the 3rd Quarter 2012 follows.

2.1 – Line Item Review – *Responsible Parties: Ryan Wimmer (OMB)/Dan Campion & Lynn Adams (MCSO)*

OMB continued its review of all MCSO non-payroll expenditures. Since the Resolution, over 18,000 transactions were reviewed including 6,561 items from the 3rd Quarter of FY 2012. To date there were 14 line-item corrections (10 fund to fund corrections; 4 Activity and/or organizational unit changes within the same fund). 7 of the 10 line item corrections were Detention Fund (255) to General Fund (100) corrections. None of the corrections were deemed significant by OMB.

In addition, OMB is reviewing payroll records to ensure that employees are being paid from the appropriate fund. For each pay period, approximately 550 payroll records are reviewed including all records in the Transportation and Court Security areas as well as a representative sample of all other areas. Thus far, 13 pay periods were reviewed resulting in the movement of two positions from one fund to another. The materiality of this correction was minimal.

There are no areas of concern related to the line item review.

2.2 – Journal Voucher Review – *Responsible Parties: Ryan Wimmer (OMB)/Lynn Adams (MCSO)*

OMB continued its review of all MCSO journal vouchers as required by the Resolution and the Board of Supervisors action of September 22, 2010. To date, 754 journal vouchers were reviewed; 290 in the 3rd Quarter of FY 2012. Thus far, only two journal vouchers required revision. MCSO continues to work well with OMB and is providing all data and requested information required to complete this review. There are no outstanding issues related to the journal voucher review.

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III. IT COLLABORATIVE ACTIVITIES

OET refined the Service Delivery model to meet its obligations under the Board of Supervisors' Resolution. The new model is divided into two areas: engagement/relationship management and delivery management, to ensure that MCSO receives best-of-class service.

- **Engagement/relationship Management:** OET assigned an internal IT Consultant, well-versed with County government, criminal justice, law enforcement and detention functions and operations, to serve as a single point of contact to triage all incoming MCSO technology requests. The consultant will directly handle all routine, non-specialized technology requests, and resolve them in a timely manner.
- **Delivery Management:** In conjunction with the Engagement Manager, all highly complex, specialized requests needing strong subject matter expertise will be triaged and assigned to other OET resources with relevant IT domain knowledge, skills and experience. Where such specialized expertise is not available in-house, OET will work in collaboration with MCSO to identify well qualified professional services to assist with the evaluation/review of these items.

This two-pronged service delivery approach allows timely, accurate and complete handling of MCSO technology items while ensuring consistent, high quality customer service.

3.1 – Full Review of Existing IT Systems – *Responsible Parties: Stephen Wetzel and Debra Jackson (OET)/Shelly Bunn (MCSO)*

OET's project task force reviewed the current-state analysis created in the previous quarter, and furthered the research by completing the following tasks:

- Collaborated with MCSO to create a comprehensive list with a brief explanation of the various MCSO business functional areas enabled by IT, to be used as a reference document throughout the project. See Attachment 2.

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- Collaborated with MCSO to define and analyze its application and infrastructure inventory, and reviewed the findings with MCSO business function areas to identify systems that are most at risk of failure.
- Met with MCSO Commanders (Shelly Bunn, Dave Davis, Jeanne Vaughn, and Steven Levinson) to complete a hardware and software technology mapping for business function areas.
- Converted a project task outline submitted in last quarter into a detailed project plan to track project progress by objective and identify milestone dependencies. See Attachment 3.

3.2 – Procurement of New Technology Systems – Responsible Parties: Stephen Wetzel and Debra Jackson (OET)/Shelly Bunn & Scott Freeman (MCSO)

OET and MCSO met in early March to discuss all aspects of a new procurement process and agreed upon an effective end-state model. OET documented the requirements in an Inter-Departmental Agreement (IDA), which subsequently was signed and executed between the two departments. See Attachment 4. This IDA will now govern the review process of new MCSO technology requests.

A more detailed update on the progress of the current IT projects is provided below:

- CAD/RMS/Civil Process and Mobile System RFP (revised estimated cost of \$4.6 million; \$6.2 million currently in the OET managed budget).
 - Contract was signed with Intergraph as the CAD/RMS vendor.
 - Hardware configuration and pricing determination are in process.
 - Facilities review is in process to ensure adequate electrical and environmental systems in MCSO's Data Center, to accommodate the additional servers.
 - A kick-off meeting took place April 25-26, 2012.
 - A funding request for Mobile Data Computers (MDCs) in MCSO's District 3 is being evaluated.

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- OET and MCSO are collaborating with the staffing study consultants (MGT) to determine staffing requirements for the implementation and ongoing support of MCSO systems.
- An architecture upgrade to provide redundancy to MCSO's current Jail Management System (JMS) environment to mitigate risk.
 - Cost estimates were provided by a vendor for an emergency disaster recovery fail-over including additional costs for supplemental staff as needed.
 - MCSO will submit a request for funding to OMB through OET for evaluation.
 - A Commercially-available Off-the-Shelf (COTS) solution may be viable instead of an internal rewrite. MCSO, in collaboration with OET, is preparing a Statement of Work (SOW) to contract a vendor to develop specifications and draft RFP for the JMS replacement.
- A replacement of MCSO's existing jail surveillance systems (\$5.7 million budgeted but it is not believed to be sufficient to cover the cost of the project.)
 - AECOM committed to deliver a draft RFP by April 17, 2012.
 - The County will review the draft RFP in late April, with the issuance of the RFP issued shortly thereafter.
 - Weekly status calls are continuing with the vendor, MCSO, and OET to ensure the project remains on schedule.
- MCSO Admin Building and 911 Center Technology (\$19 million budgeted)
 - MCSO is working collaboratively with OET to design a network infrastructure.
 - Winbourne Consulting is drafting a RFP for 911 equipment.
 - Telephone planning meetings between MCSO and OET are scheduled for April 2012.
 - A ground-breaking is scheduled for the MCSO Admin building (set to house the new 911 Call Center) in May 2012.

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- MCSO and OET are collaborating to enhance the current project tracking and oversight processes, including invoicing and payment methodology.

3.3 – Telecommunications Systems Review of Existing and New Technology – *Responsible Parties: Stephen Wetzel and Debra Jackson (OET)/Shelly Bunn and Scott Freeman (MCSO)*

OET is currently leading several technology projects that will factor into MCSO's future technology roadmap. The project task outline submitted in last reporting period was converted into a project plan to track the project progress by objective and identify milestone dependencies. See Attachment 5. During this quarter, the following progress was achieved:

- **New Radio Infrastructure (P25)** (estimated cost of \$131 Million, fully budgeted)

RCC Consultants, Inc. were retained to work with OET and Office of Procurement Services (OPS) to finalize the RFP language for the new P25 radio system. A total of (not to exceed) \$5 million is budgeted for the RCC contract. RCC anticipates that the RFP document will be available to advertise to the vendor community in May 2012. Final contract award for the RFP is scheduled for December 31, 2012. The complete system build-out process is estimated to take between five and seven years, post contract award.

As a risk mitigation measure until the new Radio Infrastructure is complete, OET upgrade the existing Motorola Smartzone Master Site on April 10, 2012 to ensure service availability and continuity.

OET also began preliminary investigations into a recently allocated broadband spectrum by the Federal Communications Commission (FCC) for possible use by public safety agencies for data communication purposes. An early-April meeting is currently scheduled for the Maricopa County CIO to meet and discuss this important development with the State CIO.

- **VoIP conversion** (estimated cost of \$1.7 million for Zone 2, fully budgeted; estimated cost of \$1.1 million for Zone 3, currently unbudgeted)

MCSO provided directory listing information which is currently being analyzed by project consultants to determine the best approach to handle dial plan overlaps with County phone numbers. It should be noted that by not adding an additional telephone trunk switch saved \$12 million over the next 5 years for the County.

Discovery meetings are scheduled with MCSO and OET to review MCSO requirements (infrastructure, phone features/functionality, integration points, locations, migration approach, etc.) Avaya, the new phone system vendor, will be reviewing the MCSO resulting architectural requirements, which will be incorporated into Avaya's certified Enterprise design for Maricopa County. MCSO will review and approve the final design/architecture and will be involved in all aspects of the planning and rollout of the VoIP/UC implementation to ensure that all of their Agency's, functional and technical requirements are met.

- **Refresh of Mobile and Portable Radios** (estimated cost of \$4.06 million, fully budgeted)

OET is engaged with MCSO staff to coordinate the replacement of the remaining analog portable ("on-hip") and mobile (in vehicle) radios within their fleet. For control purposes, all radios are ordered in batches of 50 radios. The first four batches of MCSO portable radios and one batch of mobile radios was ordered, three batches of portables were delivered, and one batch of portables are currently being programmed. The first batch of mobile radios is expected to be deployed to MCSO in late April, 2012. It is anticipated that all radios will be deployed by December 31, 2012.

- **Zone 2 Upgrade** (estimated cost of \$4.9 million for Downtown sites; fully budgeted)

Pursuant to the Memorandum of Understanding (MOU) entered into last quarter by OET with the ICJIS stakeholders, OET continues to participate in JaLET meetings and the JaLET Security Sub-committee meetings as they relate to the Zone 2 upgrade. Focus is currently on the design and upgrades in the Downtown Zone 2 infrastructure. The Durango infrastructure study is complete. The Durango campus is next in line for a Zone

2 infrastructure upgrade. Project schedules are currently being created for the remaining campus upgrades.

IV. OPERATIONAL EFFICIENCY REVIEWS

4.1 – Vehicle Utilization – *Responsible Parties: Sandi Wilson and Rebekah Francis (OMB)/Jerry Sheridan and Scott Freeman (MCSO)*

MCSO's full review of vehicles used by staff is complete. An analysis is being performed on possible cost efficiencies to be gained by purchasing some vehicles currently leased. Those analyses will be presented when they are complete.

MCSO is also working directly with County offices to improve County-wide policies regarding vehicle usage, overnight use, and license plate destruction. County policies are also being reviewed in light of the findings from Internal Audit relating to overnight usage and "Blue Card" applications.

4.2 – Extradition/Travel Policy and Procedure Update – *Responsible Parties: Rebekah Francis, Tristan Pico and John Shamley (OMB)/Paul Chagolla and Larry Farnsworth (MCSO)*

Since the last report to the Board, MCSO finalized its travel and extradition policy. See Attachment 6.

The MCSO policy aligns itself with the following:

- Maricopa County Policy
- AZ Post Travel Policies
- GSA Travel Guidelines and Per Diem Requirements
- State of Arizona Accounting Manual Travel Policies

OMB made draft recommendations to the County travel policy as well. Those draft recommendations were presented to the Board on March 28th for consideration and were approved. See Attachment 7.

4.3 – Aviation Operations Review – *Responsible Parties: Rebekah Francis, Tristan Pico and John Shamley (OMB)/Paul Chagolla and Larry Farnsworth (MCSO)*

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This sub-group continues to review the requirements for risk management, pilot training programs, and policies and leases associated with aviation. It is also reviewing possible cost saving options for other County departments with aviation needs.

MCSO is in the process of rewriting the aviation operations policy and general policy to include best practices from the IACP(International Association of Chiefs Of Police) expert on safety and law enforcement aviation policy. This policy should be completed by the next quarterly review.

4.4 – Efficiency and Best Practices in Conjunction with Staffing Studies – *Responsible Parties: Lee Ann Bohn (OMB)/Jerry Sheridan and various others (MCSO)*

The four studies (Law Enforcement, Detention, HR/Finance, and IT) are still on track to be completed by the selected vendor, MGT of America, Inc. ("MGT"), by the end of the 4th Quarter 2012. To date, MGT completed all necessary fieldwork and data collection. MGT is in the process of preparing its written report.

4.5 – Cash Handling Procedures – *Responsible Parties: Lee Ann Bohn (OMB)/Scott Freeman and Taanya Creek (MCSO)*

Proposals were reviewed and vendors provided on-site demonstrations during the 3rd Quarter 2012. The Office of Procurement Services on April 24, 2012 received the Board of Supervisors' approval for TouchPay to be the vendor for the cash handling project.

The first phase of the project will include installation and implementation of release and intake kiosks for inmates in MCSO jails. The intent of the contract is to eliminate cash handling and provide for greater efficiencies in the tracking and monitoring of inmate funds from intake to release for deputies and other public safety agencies. The second phase will address bonds, fines and civil collections for MCSO. The contract is estimated to provide \$250-\$300k in annual revenue to the County.

The initial scope of this project was expanded beyond MCSO to include other justice system agencies. The sub-group expects to

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realize efficiencies and improvements in cash handling procedures in all of the agencies that implement the final system.

4.6 – Mandated vs. Non-Mandated Service Analysis –

Responsible Parties: Rebekah Francis (OMB)/Jerry Sheridan and Scott Freeman (MCSO)

This sub-group met with MCAO to review all statutes outlining mandated services. The legal analysis started and is moving forward. A final report from MCAO is expected in 4th Quarter 2012.

4.7 – Deployment of Time Clocks – *Responsible Parties: Rebekah Francis (OMB)/Mike Olson and Shelly Bunn (MCSO)/Randy Kenny and Mike Elsberry (OET)*

The full study of the detention facilities is complete. 64 time clocks were installed in the 13 facilities. Employees in many of these facilities will also be assigned to use the eTime Phone. Training was completed April 3, 2012 for all MCSO employees participating in the test phase. The test phase occurred from April 3, 2012 through April 27th. No issues were identified. A rolled go-live will begin May 14, 2012. The Durango Jail and Transportation Division will go-live first followed by the remainder of the facilities over a 2 week period.

Meetings with all Law Enforcement divisions are underway and are expected to be complete in 4th Quarter 2012. A plan is being developed for the deployment of real-time time keeping devices for this group of MCSO employees. It is anticipated that the devices will be rolled out to this group by 2nd Quarter 2013.

V. OVERSIGHT FUNCTIONS

5.1 – Full Cost Recovery for All Services Rendered – *Responsible Parties: Lee Ann Bohn (OMB)/Scott Freeman and Suzanne Ashmore (MCSO)*

A meeting was held during 3rd Quarter 2012 to discuss amending law enforcement contracts for the new contractual period to require full cost recovery of indirect charges. It was determined that some components of the indirect cost pool may not be appropriate to charge to contracted cities and towns. It was also determined that

inclusion of these costs could make the contracts cost prohibitive to some cities and towns. It was decided that the contract language would be amended to allow, but not require, charging indirect costs. The issue will be revisited again next fiscal year.

5.2 – Implementation of Subsequent Remedial Measures (SRM) –
Responsible Parties: Kathleen Kolm (Risk)/Jack MacIntyre (MCSO)

Risk continues to meet with MCSO to implement this program. Risk states that the program continues to work very well, with full cooperation from each Deputy Chief with whom the department had contact. It is a perpetual process that MCSO continues to cooperate with. Since July 2011, 7 MCSO cases met the threshold requirements for inclusion in the SRM program.

5.3 – Review of Volunteer Program Structures and Related Coverage/Liability Issues –
Responsible Parties: Rebekah Francis (OMB)/Brian Sands (MCSO)

MCSO and OMB continue to meet to review all aspects of the MCSO volunteer programs. MCSO is drafting a policy relating to its volunteers with the assistance of OMB and Risk Management. A reviewable rough draft will be completed by May 2012. Additionally, a database of volunteers is being developed County wide.

The review of all policies and procedures continues including the following items:

- Posse Pilot History
- Equipment used by Posses
- List of Personally Owned Vehicles used for Posse Missions
- List of Armed Qualifications for Posse Members
- Driver's License Information

5.4 – Full Strategic Business Plan Update and Metric Reporting –
Responsible Parties: Kirk Jaeger (Business Strategies)/Jerry Sheridan, Scott Freeman and Suzanne Ashmore (MCSO)

The MCSO strategic plan was complete in November 2012. This item is complete as stated in the 1st Quarter FY 2012 Report.

MCSO's stated Mission, Vision and Value Statement are as follows:

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- **Mission:** The Mission of the SHERIFF is to provide law enforcement, detention and crime prevention services to the public so they can be safe and secure in the community.
- **Vision:** The Maricopa County Sheriff's Office is a fully integrated law enforcement agency committed to being the leader in establishing the standard and delivering professional quality law enforcement, detention, and support services to citizens of Maricopa County and to other criminal justice agencies.
- **Value Statement:** These are the values of the Maricopa County Sheriff's Office: 1. Encourage teamwork. 2. Communicate clearly, openly, honestly, courteously and with integrity. 3. Demonstrate a passion for excellence. 4. Be ever mindful of our duty to the tax payers to be good stewards of their money through cost effective service delivery and responsible resource management. 5. Be innovative, open to ideas, and view change as an opportunity. 6. Encourage decision making at the lowest appropriate level--be a contributor and part of the solution. 7. Adopt aggressive goals supported by timed, measurable objectives that are communicated throughout the organization. 8. Be committed to providing effective and efficient services to citizens and other recipients of service. 9. Recognize diversity and accommodate personal and professional differences while remaining focused on the Mission. 10. Value employees and maintain civility in the workplace.

5.5 – Full Update of Reporting Structure and Staff Allocation, including Specialized Units – *Responsible Parties: Lee Ann Bohn (OMB)/Scott Freeman and Bill Knight (MCSO)*

This item is being completed in conjunction with item 4.4.

VI. QUARTERLY REVIEWS

OMB, in conjunction with all Tasked Departments and MCSO, contributed to this quarterly report in response to the requirements set out in Resolution Section 6. The next quarterly report will be completed in late July 2012.

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Cc: Tom Manas, County Manager
Sheriff Joseph M. Arpaio
Gerard A. Sheridan, Chief Deputy, Maricopa County Sheriff's Office

Attachment #1

**RESOLUTION OF THE BOARD OF SUPERVISORS
OF MARICOPA COUNTY
CONCERNING THE OVERSIGHT AND REVIEW OF THE MARICOPA
COUNTY SHERIFF'S DEPARTMENT**

C-49-11-085-M-00

WHEREAS, the powers and duties of the Maricopa County Board of Supervisors ("Board") relating to oversight and budget authority are outlined in statute, specifically A.R.S. §§ 11-201, 251(1) and (21), and 42-17101, et. seq.; and

WHEREAS, the Maricopa County Sheriff's ("Sheriff") duties and responsibilities are established by statute, specifically A.R.S. § 11-441; and

WHEREAS, the Maricopa County Sheriff's Office ("MCSO"), beginning in November, 2009, opposed participation in standard County audits and raised objections to subpoenaed documents and public records requests; and

WHEREAS, on May 26, 2010, the Board heard a report concerning fiscal and management concerns regarding the MCSO, and

WHEREAS, the Board directed staff to investigate and analyze information in order to make further recommendations to the Board, and

WHEREAS, the Board, at its September 22, 2010, meeting learned of the MCSO's misallocation of the voter-approved Jail Tax (a.k.a. Detention Fund), violations of Board policies relating to procurement and capital purchases, questionable use of outside bank accounts, and significant weaknesses in cash handling procedures; and

WHEREAS, the Board, at its April 13, 2011, meeting learned the estimated misallocation of Detention and Inmate Services Fund monies by the MCSO was nearly \$99.5 million (unaudited); and

WHEREAS, some members of the public have expressed concern regarding the MCSO; and

WHEREAS, MCSO is in need of funding for capital improvement and information technology projects in Fiscal Year 2011-2012 totaling \$233.36 million, as follows:

1. additional information technology infrastructure to support Zone 2 at an estimated cost of \$4.94 million; and
2. a new crime lab, construction of which is underway and will be completed in the fall of 2012, at an estimated final allocation cost of \$4.6 million; and
3. a new County-wide radio system at an estimated cost of \$131.35 million; and

4. a new 911 center equipment at an estimated cost of \$8.25 million; and
5. a new integrated 911 center and headquarters at an estimated cost of \$80.0 million; and
6. new information technology infrastructure at its headquarters at an estimated cost of \$4.22 million; and

WHEREAS, the Board believes that additional financial controls and monitoring of MCSO are necessary in order to support the Board's fiduciary and statutory responsibilities; and

NOW THEREFORE, BE IT RESOLVED THAT:

1. The County Internal Audit Department will perform at least the following audits of MCSO:
 - 1.1 Initial Survey and Risk Assessment
 - 1.2 Expenditures
 - 1.3 Payroll
 - 1.4 IT Systems and Software Applications Controls
 - 1.5 Incident Report Tracking
 - 1.6 Evidence Room, Property Release and Purge, Vehicle Impound
 - 1.7 Weapons Inventory
 - 1.8 Seized Drugs – Disposal/Destruction
 - 1.9 Warehouse/Surplus Operations
 - 1.10 Training Compliance
 - 1.11 Patrol IGA Review
2. The County Office of Management and Budget will provide the following ongoing financial controls of MCSO:
 - 2.1 Continued Monthly Detailed Financial Review by Line Item of all MCSO funds in FY 2011-12, including P-card monitoring
 - 2.2 Continued Journal Voucher Review
3. The County Office of Enterprise Technology will provide the following information technology collaborative activities with MCSO:
 - 3.1 Full Review of Existing IT Systems
 - 3.2 Procurement of new Information Technology Systems
 - 3.3 Telecommunication Systems Review of existing and new technology
4. The County Office of Management and Budget, in concert with other applicable Maricopa County Departments, will perform the following operational efficiency reviews of MCSO:

- 4.1 Vehicle Utilization Review
- 4.2 Extradition/Travel Policy and Procedure Updates
- 4.3 Aviation Operations Review
- 4.4 Efficiency and Best Practices Reviews in Conjunction with Staffing Studies
- 4.5 Cash Handling Procedures
- 4.6 Mandated Vs. Non-Mandated Service Analysis
- 4.7 Deployment of Time Clocks, where applicable

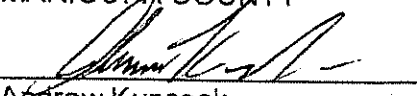
5. The County Office of Management and Budget, in concert with other applicable Maricopa County Departments, will perform the following oversight functions and review of MCSO:

- 5.1 Full Cost Recovery for All Services Rendered
- 5.2 Implementation of Subsequent Remedial Measures
- 5.3 Review of Volunteer Program Structures and Related Coverage/Liability Issues
- 5.4 Full Strategic Business Plan Update and Metric Reporting
- 5.5 Full Update of Reporting Structure and Staff Allocation, including Specialized Units

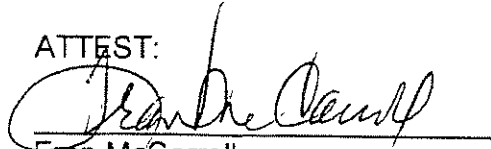
6. The County Office of Management and Budget, in concert with MCSO and other applicable Maricopa County Departments, will update the Board of Supervisors on the status of the items delineated in this Resolution on a quarterly basis.

Adopted this 20th day of June, 2011.

MARICOPA COUNTY


Andrew Kunasek
Chairman, Board of Supervisors

ATTEST:


Fran McCarroll
Clerk of the Board

Approved as to form:


David Z. Benton
Counsel to the Board

Attachment #2

Maricopa County Sheriff's Office
Lines of Business
March 22, 2012

Detention

The Maricopa County Sheriff's Office is responsible for providing a safe and secure detention environment to inmates assigned to Sheriff's Custody so they can be safely, properly and expeditiously processed through the criminal justice system. The average number of inmates is approximately 7,500 per day. The Sheriff's Office employs 1,918 Detention Officers (including 234 vacant positions) who are responsible for the operation of seven jail facilities in Maricopa County.

The Detention line of business is divided into "Regions." Following is a high level overview of the Regions as well as facilities and functions assigned to each.

Custody Region 1

- Central Intake
- Madison Street Jail – not housing inmates at this time
- Court Security/Transportation
- Fourth Avenue Jail (4AJ)
- Durango Jail

Custody Region 2

- Lower Buckeye Jail (LBJ)
- Detention Standards and Compliance
- LBJ Medical Services
- Ward 41
- Institutional Services – laundry, food services, custodial services, inmate canteen
- Custody Support – education, religious services, adult inmate programs and MASH

Custody Region 3

- Estrella Jail
- Tents Jail
- Sheriff's Information Management Services (SIMS) – note: this group manages data entry and distribution regarding inmates; it is not a technology group
- Inmate Classification
- Towers Jail
- Special Response Team

The jail intelligence function is separate from the Regions delineated above and reports directly to the Director of Detention.

Enforcement

The Maricopa County Sheriff's Office is responsible for providing law enforcement response relative to crime, criminal activity and events that disrupt order and threaten public safety to the community. There are 684 sworn officers (including 40 vacant positions) providing law enforcement services for Maricopa County.

Maricopa County Sheriff's Office
Lines of Business
March 22, 2012

The Enforcement line of business is divided into three areas: Patrol, Patrol Resources and Investigations and Support Services. The Patrol function is organized in Districts. There are six Districts (designations 1, 2, 3, 4, 6, 7) plus Lake Patrol and Mountain Patrol. In addition, MCSO provides contracted law enforcement services to nine municipalities which include the towns/cities of Cave Creek, Carefree, Fountain Hills, Gila Bend, Goodyear, Guadalupe, Litchfield Park, Queen Creek and Youngtown.

The Patrol Resources and Investigations Bureau includes the following functions:

- Enforcement Support
- SWAT and K-9
- Special Investigations – Parcel interdiction, HIDTA, RICO, narcotics investigations
- General Investigations – Homicide, vehicular and computer crimes investigations
- Sworn and Detention Officer Training
- Human Smuggling

The Support Services Bureau 1 is responsible for these areas:

- Aviation
- Civil Process
- Extraditions
- Facial Recognition
- Intelligence and Counter Terrorism

Business Operations Support

There are 604 civilians (including 98 vacant positions) providing operational support to the Enforcement and Detention lines of business. This support function is divided into Bureaus based upon responsibility. There are Budget and Finance, Technology Management, and Human Resources and Compliance Bureaus. In addition, a number of additional operational functions are grouped in Support Services Bureau 2. Following are the functions included in this Bureau:

Support Services Bureau 2


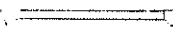














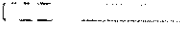


- Government / Legislative Liaison
- Property Division
- Records and Warrants Division
- Arizona Fingerprint Identification System (AFIS) Division
- Communications – 911 Dispatch Center
- Crime Lab

Attachment #3

**Maricopa County Board of Supervisors Resolution Concerning the Review and Oversight of The Maricopa County Sheriff's Department: Item 3.1
Project Plan**

ID	Task Name	Start	Finish	% Complete
1	Applications Inventory	Mon 10/3/11	Tue 5/1/12	74%
2	Obtain applications inventory (based on agreed upon format) from MCSO	Mon 10/3/11	Fri 12/30/11	100%
3	Analyze Applications Inventory	Mon 10/3/11	Wed 4/11/12	85%
4	Map Applications Inventory against MCSO Business Functional Areas	Tue 4/3/12	Mon 4/9/12	90%
5	Document findings and trends	Mon 2/6/12	Mon 4/16/12	10%
6	Review applications analysis findings with MCSO	Tue 5/1/12	Tue 5/1/12	0%
7				
8	Infrastructure Inventory	Fri 3/30/12	Wed 5/2/12	49%
9	Obtain Infrastructure Inventory (based on agreed upon format)	Fri 3/30/12	Wed 4/11/12	90%
10	Analyze Infrastructure Inventory	Tue 4/3/12	Fri 4/13/12	50%
11	Map Infrastructure Inventory against MCSO Business Functional Areas	Fri 3/30/12	Fri 4/13/12	60%
12	Document findings and trends	Wed 4/11/12	Thu 4/26/12	10%
13	Review infrastructure analysis findings with MCSO	Wed 5/2/12	Wed 5/2/12	0%
14				
15	IT Operations	Wed 4/25/12	Thu 5/31/12	0%
16	Review MCSO current IT Operations (Enterprise Technical Reach)	Wed 4/25/12	Thu 5/3/12	0%
17	Review MCSO current IT Operations (Division-Specific Technical Reach)	Wed 5/2/12	Thu 5/3/12	0%
18	Assess current IT operational processes	Mon 5/7/12	Fri 5/11/12	0%
19	Map MCSO Current IT Operations against MCSO Business Functional Areas	Wed 5/9/12	Mon 5/14/12	0%
20	Document findings and trends	Mon 5/14/12	Wed 5/16/12	0%
21	Review operations analysis findings with MCSO	Tue 5/22/12	Fri 5/25/12	0%
22	Review the Disaster Recovery/Business Continuity posture	Mon 5/28/12	Thu 5/31/12	0%
23				
24	IT Staffing Study	Mon 1/2/12	Sun 9/30/12	0%
25	Assist MGT as needed with IT Staffing Study	Mon 1/2/12	Sun 9/30/12	0%
26	Review and provide feedback to MCSO for Staffing Study findings	Mon 7/2/12	Sun 9/30/12	0%
27				
28	On-going Operations/Tasks	Mon 10/3/11	Fri 6/28/13	0%
29	Review MCSO IT Change Control Process	Mon 6/4/12	Fri 6/29/12	0%
30	Assess the ability of the current Technology to support MCSO's current and future business needs, based upon Staffing Study findings	Mon 4/2/12	Fri 6/29/12	0%
31	Explore opportunities for enhancing Business/IT partnerships	Mon 4/2/12	Fri 6/29/12	0%
32	Examine MCSO internal systems interfaces, data flows and interdependencies	Mon 4/2/12	Fri 6/29/12	0%
33	Examine MCSO external systems interfaces, data flows and interdependencies	Mon 4/2/12	Fri 6/29/12	0%
34	Verify alignment of MCSO technology to county standards and industry best practices	Mon 4/2/12	Fri 6/29/12	0%
35	Conduct Risk Assessment and Identify IT Risk Factors	Mon 4/2/12	Fri 6/29/12	0%

Project: MCSO_Resolution_3.1
Date: Tue 4/24/12

Task		Inactive Summary	
Split		Manual Task	
Milestone		Duration-only	
Summary		Manual Summary Rollup	
Project Summary		Manual Summary	
External Tasks		Start-only	
External Milestone		Finish-only	
Inactive Task		Progress	
Inactive Task		Deadline	
Inactive Milestone			

Maricopa County Board of Supervisors Resolution Concerning the Review and Oversight of The Maricopa County Sheriff's Department: Item 3.1
Project Plan

ID	Task Name	Start	Finish	% Complete
36	Develop Technology Roadmap in collaboration with MCSO	Mon 4/2/12	Fri 6/29/12	0%
37	Review and Finalize Technology Roadmap with MCSO	Mon 4/2/12	Fri 6/29/12	0%
38	Create Staff Professional Development Plan in collaboration with MCSO	Mon 7/2/12	Fri 9/28/12	0%
39	Review overall IT System Study Findings with MCSO	Mon 7/2/12	Fri 9/28/12	0%
40	Write TIR Management Report	Mon 7/2/12	Fri 9/28/12	0%
41	OET Management review of TIR Report	Mon 7/2/12	Fri 9/28/12	0%
42	MCSO Reviews TIR Report	Mon 7/2/12	Fri 9/28/12	0%
43	Publish TIR Report	Mon 7/2/12	Fri 9/28/12	0%
44	OET Presents Report to Resolution Team	Mon 7/2/12	Fri 9/28/12	0%
45	OET Presents Report to Board of Supervisors (TBD)	Mon 10/3/11	Mon 10/3/11	0%
46	Review IT Environment and Technology Roadmap and make updates/Refresh as appropriate	Mon 10/1/12	Fri 6/28/13	0%

Project: MCSO_Resolution_3.1
Date: Tue 4/24/12

Task		Inactive Summary	
Split		Manual Task	
Milestone		Duration-only	
Summary		Manual Summary Rollup	
Project Summary		Manual Summary	
External Tasks		Start-only	
External Milestone		Finish-only	
Inactive Task		Progress	
Inactive Task		Deadline	
Inactive Milestone			

Attachment #4

INTERDEPARTMENTAL AGREEMENT



Maricopa County

Office of Enterprise Technology

***RESOLUTION OF THE BOARD OF SUPERVISORS
OF MARICOPA COUNTY CONCERNING THE
OVERSIGHT AND REVIEW OF THE MARICOPA
COUNTY SHERIFF'S DEPARTMENT***

**ITEM 3.2: PROCUREMENT OF NEW INFORMATION
TECHNOLOGY SYSTEMS**

Document Approval

Stakeholder	Title	Date	Signature
Stephen L. Wetzel	Maricopa County CIO	4/20/12	<i>Stephen L. Wetzel</i>
Scott R. Freeman	MCSO Chief of Administration	4/19/12	<i>Shelly G. Bunn</i> for Scott Freeman

Revision History

Date	Version	Description	Author/Contributor
01/17/2012	1.0	Original Document	Mark Moyle
01/19/2012	2.0	Edits and updates	Christopher Nchopa-Ayafor
03/26/2012	2.1	Edits and updates	Debra Jackson / Christopher Nchopa-Ayafor
03/27/2012	2.2	Review edits / updates	Debra Jackson / Perry Kapadia / Christopher Nchopa-Ayafor
03/30/2012	2.3	Edits and updates	Shelly Bunn
04/06/2012	2.4	Edits and updates	Shelly Bunn / Debra Jackson
04/09/2012	2.5	Formatting edits	Debra Jackson
04/10/2012	2.6	Edits and updates	Debra Jackson
04/12/2012	2.7	Edits and updates	Debra Jackson / Christopher Nchopa-Ayafor
04/13/2012	2.8	Edits and updates	Debra Jackson / Shelly Bunn
04/17/2012	3.0	Edits and updates	Stephen Wetzel
04/18/2012	3.1	Edits and updates	LeeAnn Bohn

INTERDEPARTMENTAL AGREEMENT
Between
MARICOPA COUNTY OFFICE OF ENTERPRISE TECHNOLOGY
And
MARICOPA COUNTY SHERIFF'S OFFICE
For
TECHNOLOGY PURCHASE REVIEW AND SUPPORT SERVICES

This Interdepartmental Agreement, dated this 19th day of April, 2012, is entered into by and between the MARICOPA COUNTY OFFICE OF ENTERPRISE TECHNOLOGY (hereinafter "OET") and the MARICOPA COUNTY SHERIFF'S OFFICE (hereinafter "MCSO").

I. PURPOSE

The purpose of this agreement is to define a framework that will allow OET to provide assistance to MCSO for all Information Technology (IT) purchases in accordance with the requirements set forth in Section 3.2 of the Board of Supervisors' Resolution adopted on June 20, 2011, regarding the oversight and review of MCSO operations.

II. TERMS

IT requests submitted by MCSO to OET will fall into two categories: Minor and Major procurement requests. MCSO will be responsible for completing and submitting the Technology Request Form (see Exhibit 1) to the OET Engagement Manager for MCSO. MCSO will also be responsible for obtaining any necessary approvals for IT purchases outside of OET consistent with current Board policies (e.g., Capital Purchase Freeze).

a. Minor Technology Request:

Requests for IT purchases under \$50,000 are considered Minor Technology Requests. Minor Technology Requests require the Sheriff's Office to send an email to OET with a completed Technology Request Form describing the amount, purpose and business justification for the purchase, and any related attachments (i.e., quotes, approvals). Minor Technology Requests will be reviewed and approved within three (3) business days of completed Technology Request Form submission.

b. Major Technology Request:

Requests for IT purchases of \$50,000 or more are considered Major Technology Requests. Major Technology Requests require a lead time of fifteen (15) business days from submission of a completed Technology Request Form to ensure proper review of the request.

c. Emergency or Time Critical Requests:

In order to address those occasions where a technology request is urgent or deadline is imminent, mutually agreed upon timelines may supersede the lead times defined in Sections II.a. and II.b.

ITEM 3.2 Procurement of New Information Technology Systems

d. Repairs and Maintenance Expenditures:

Repairs and Maintenance expenditures (object code 825) do not require OET review or approval provided the expenses were approved by OMB as part of MCSO's annual budgeting process. MCSO will provide OET a copy of the items approved for the Repairs and Maintenance budget at the beginning of each fiscal year.

e. Agreement Term:

This agreement shall be effective when signed by both parties and shall remain in effect for the term of the Board Resolution or until revised with the agreement of both parties.

f. Procurement Process Support:

OET shall provide technical expertise on all formal MCSO technology procurements and shall be included as a subject matter expert (SME) on all MCSO request for proposals (RFP) or similar procurement processes. (See Process Flow, Exhibit 2)

i. MCSO Responsibilities:

1. Prepare MCSO IT requests using the process described in Section II of this document; and
2. Submit completed Technology Request Form (Exhibit 1) to the OET Engagement Manager for MCSO. The request will be submitted by the MCSO Deputy Director, Technology Management Bureau, or Designee.

ii. OET Responsibilities:

1. Assign a tracking number for each request;
2. Review the request from MCSO and clarify necessary items;
3. Share with MCSO any findings and conclusions as documented; and
4. Make recommendations for approval, non-approval or provide alternatives to MCSO Deputy Director, Technology Management Bureau.

III. NOTICES

All notices or correspondence between the parties required by or regarding this agreement shall be emailed, mailed or delivered to the respective parties at the addresses listed below:

MCSO

C/O Shelly L. Bunn, MCSO Deputy Director, Technology Management Bureau
100 W. Washington, Suite 1900
Phoenix, AZ 85003-1812
S_Bunn@mcs.maricopa.gov

OET

C/O Debra Jackson, Engagement Manager for MCSO
301 S. 4th Avenue, Suite 200
Phoenix, AZ 85003
jacksond003@mail.maricopa.gov

Shary Z. Bura for Scott Freeman 4/20/12

Scott R. Freeman
Chief of Administration, MCSO

Date

Stephen L. Wetzel

Stephen L. Wetzel
Maricopa County Chief Information Officer

4-20-12

Date

Exhibit 1 – Technology Request Form

OET Tracking Number:

I. Contact Information*:

Sponsor Name	Title	Phone Number

II. Funding String*:

III. Items to be Purchased*:

Item Name	Quantity	Description

IV. Quote Summary*:

Vendor Name	Selected Option	Vendor Quote	Tax	Shipping	Total Cost

V. Date Needed*:

VI. Business Justification:

Executive Summary						
Existing Situation and Problem (As Is)*						
Proposed Solution/Business Value (To Be)* include changes to internal business processes driven by the proposed solution						
Alternatives Considered						
Consequences to the business if the request is not approved*						
5-Year Total Cost of Ownership (TCO) (including purchase price, licensing, training, and any other costs associated with purchase)*	5 Yr-TCO	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5
	One-time costs					
	Recurring Costs (O&M)					

*Required for Minor Technology Request (all entries required for Major Technology Request)

ITEM 3.2 Procurement of New Information Technology Systems

VII. OET Review and Recommendation:

OET recommends approval (subject to budget authority) ☐

OET recommends the following alternative ☐ as described in the OET Comments below.

OET does not recommend approval ☐ based on the OET Comments below.

OET Comments: [Click here to enter text.](#)

Approval Signatures:

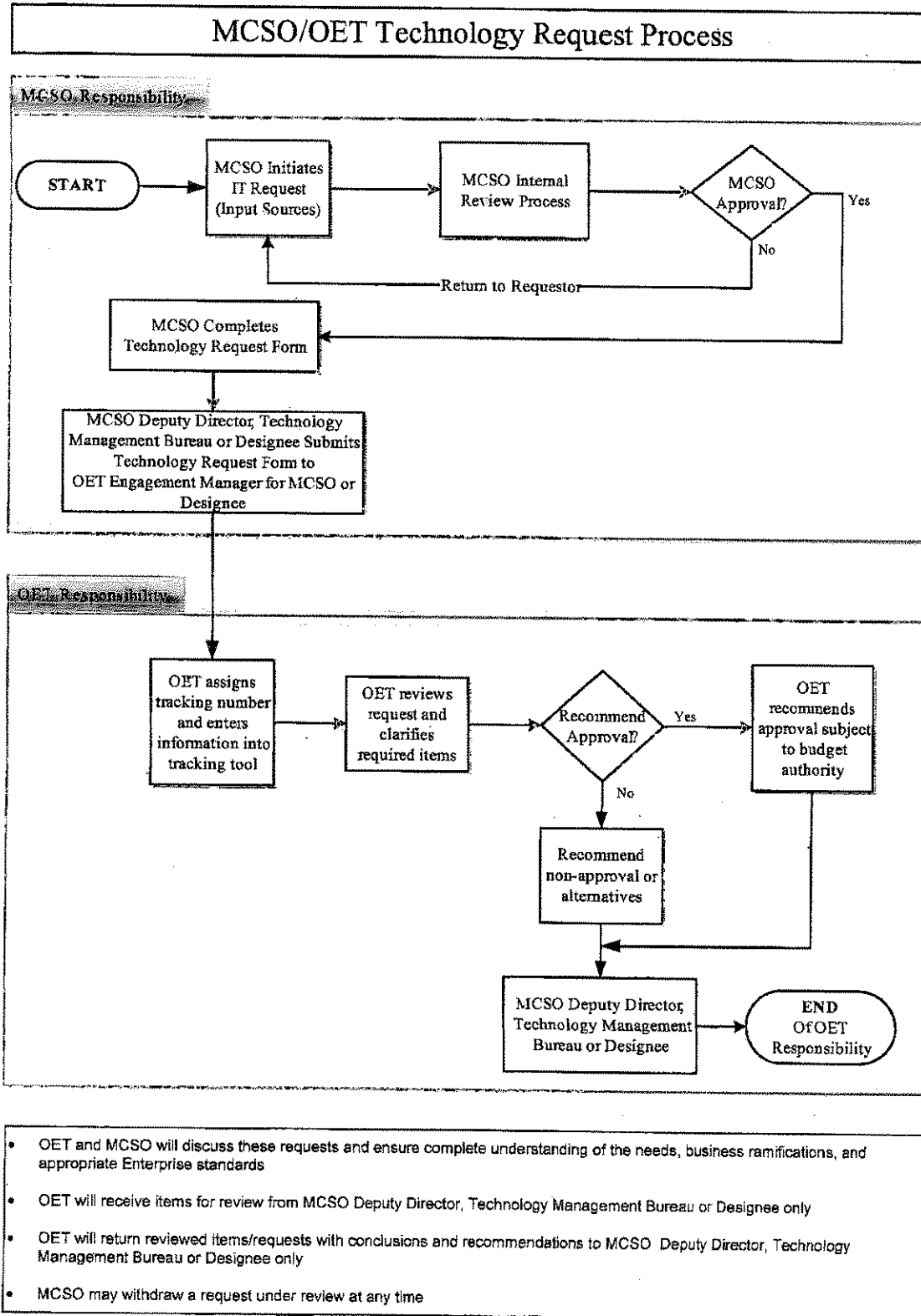
Printed Name	Signature	Date
	OET Engagement Manager for MCSO	

Printed Name	Signature	Date
	Deputy CIO, Maricopa County	

Printed Name	Signature	Date
	CIO, Maricopa County**	

***CIO signature required for Major Technology Requests only*

Exhibit 2 – Process Flow




Attachment #5

**Maricopa County Board of Supervisors Resolution Concerning the Review and Oversight of The Maricopa County Sheriff's Department: Item 3.3
Project Plan**

ID	Task Name	Start	Finish
1	P25 Radio Replacement Project	Fri 7/1/11	Wed 1/1/20
2	✓ Upgrade P25 Master Site	Tue 4/10/12	Wed 4/11/12
3	Refresh outmoded Mobile and Portable Radios in collaboration with MCSO	Wed 2/22/12	Mon 12/31/12
4	Finalize RFP (OET, OPS, RCC Consultants)	Mon 1/2/12	Thu 5/31/12
5	RFP evaluations and Negotiations	Thu 5/31/12	Mon 12/31/12
6	Award RFP Contract	Tue 1/1/13	Tue 1/1/13
7	Deploy Radio System Infrastructure	Wed 1/2/13	Wed 1/1/20
8	OET Monitor and Report Progress to MCSO	Fri 7/1/11	Fri 7/1/11
9			
10	County-Wide Telephone Migration	Fri 7/1/11	Tue 6/30/15
11	✓ Finalize Contract Negotiations with Avaya	Fri 7/1/11	Thu 9/29/11
12	✓ Order Core Equipment	Thu 9/29/11	Fri 9/30/11
13	✓ Deliver Core Equipment	Wed 11/2/11	Wed 11/9/11
14	✓ Deploy Chambers Pilot	Mon 12/19/11	Tue 1/24/12
15	Complete Requirements Gathering and Detail Design	Sat 10/1/11	Sat 6/30/12
16	Deploy VoIP/UC System	Mon 7/2/12	Mon 12/31/12
17	Determine MCSO Rollout Schedule	Mon 7/2/12	Fri 6/28/13
18	OET Monitor and Report Progress to MCSO	Fri 7/1/11	Tue 6/30/15
19			
20	Zone 2 Network and Security Refresh	Wed 9/28/11	Thu 12/31/15
21	✓ Connect Zone 2 Core to South Court Tower (SCT)	Tue 1/31/12	Tue 1/31/12
22	Develop Scope of Work Zone 2 Design	Wed 9/28/11	Fri 11/30/12
23	Develop Zone 2 Design in Collaboration with MCSO and Secure ICJIS Approval	Tue 1/31/12	Mon 7/2/12
24	Refresh Downtown Campus Zone 2	Mon 7/2/12	Thu 10/31/13
25	✓ Conduct Durango Infrastructure Study	Mon 1/2/12	Tue 1/31/12
26	Conduct Remote Sites Infrastructure Study	Mon 7/2/12	Mon 12/31/12
27	Conduct Southeast Infrastructure Study	Mon 7/2/12	Mon 12/31/12
28	Refresh Durango Campus Zone 2	Mon 7/2/12	Thu 1/30/14
29	Refresh Southeast Campus Zone 2	Thu 12/31/15	Thu 12/31/15
30	OET Monitor and Report Progress to MCSO and ICJIS Stakeholders	Tue 1/31/12	Fri 1/30/15
31			
32	Mobile Data Computer Replacement District 3	Sat 10/1/11	Fri 6/29/12
33	✓ Collaboratively Identify MDC Compatible with the New MCSO CAD/RMS System	Sat 10/1/11	Sat 12/31/11
34	Identify Funding Source	Mon 1/2/12	Fri 3/30/12
35	Issue Purchase Order	Fri 3/30/12	Fri 3/30/12
36	Receive Equipment	Fri 3/30/12	Fri 3/30/12
37	Assist MCSO with Configuration of MDC's as Required	Fri 6/29/12	Fri 6/29/12
38	Assist MCSO with Deployment of MDC's as Required	Fri 6/29/12	Fri 6/29/12
39	OET Monitor and Report Progress to the Board of Supervisors (BOS)	Fri 6/29/12	Fri 6/29/12

Project: MCSO_Resolution_3.3 Date: Tue 4/24/12	Task		Inactive Summary	
	Split		Manual Task	
	Milestone		Duration-only	
	Summary		Manual Summary Rollup	
	Project Summary		Manual Summary	
	External Tasks		Start-only	
	External Milestone		Finish-only	
	Inactive Task		Progress	
	Inactive Task		Deadline	
	Inactive Milestone			

Attachment #6

 <small>Joseph M. Arpaio, Sheriff</small>	MARICOPA COUNTY SHERIFF'S OFFICE	
	Policy & Procedure Joseph M. Arpaio - Sheriff	
	Subject BUSINESS TRAVEL AND TRAVEL EXPENSES	Policy Number GD-21 Effective Date 03-09-12
Related Information Maricopa County General Travel Policy A2313		Supersedes GD-21 (09-29-00)

PURPOSE

The purpose of this Policy is to establish guidelines for general travel practices in accordance with Maricopa County General Travel Policy A2313. Additionally, this Policy provides guidance specific to extradition and investigative travel exceptions for Office employees.

Although this Policy refers to "employees" throughout, this Policy also applies with equal force to all volunteers. Volunteers include, but are not limited to, reserve deputies and posse members.

POLICY

It is the policy of the Office that all official travel shall be properly authorized, reported, and reimbursed. Under no circumstances shall expenses for personal travel be charged to, or be temporarily funded by, the Office.

DEFINITIONS

Arizona Peace Officer Standards and Training Board (AZPOST) Travel: Travel that is funded by AZPOST funds and only available to sworn employees. AZPOST Travel funds shall be dispersed in accordance with the State of Arizona Accounting Manual (SAAM).

Duty Post: The place where an employee spends the largest portion of his work hours, or the place where an employee returns upon completion of a special assignment. This definition shall apply to assignments in which a significant portion of the shift is regularly spent driving, flying, or otherwise traveling within the state. There is no fixed duty post during the course of such travel; therefore, the conveyance becomes the designated duty post.

Employee: A person currently employed by the Office in a classified, unclassified, full-time, part-time, contract, or probationary status.

Incidental Expenses: Uncategorized expenses which include things such as tips for baggage handlers, room service, room maintenance, or laundry. On trips made for purposes other than extradition, incidental expenses are covered by the per diem rate. Per diem rates are determined by the Federal U.S. General Services Administration Per Diem Rates (www.policyworks.gov/perdiem) or by the State of Arizona Accounting Manual (SAAM), depending on the funding source of the travel.

Lodging: Overnight accommodations which include all mandatory room charges, resort fees, and parking charges. When determining pricing for lodging by State, refer to the Federal U.S. General Services Administration Per Diem Rates (www.policyworks.gov/perdiem), or where appropriate, the State of Arizona Accounting Manual (SAAM).

Per Diem: An allowance for lodging, meals, including tips, and incidental expenses, which varies according to geographical destination. Per diem is determined by referring to the Federal U.S. General Services Administration

Per Diem Rates (www.policyworks.gov/perdiem) or where appropriate, the State of Arizona Accounting Manual (SAAM).

State of Arizona Accounting Manual (SAAM): Generally accepted accounting principles used by the State of Arizona. Travel funded by Arizona grants, AZPOST, or Jail Enhancement Funds (JEF) must follow the reimbursement rates found in SAAM, Title II, General Accounting Policies and Procedures, Section D, Travel Policy, Sub-Section F, Mileage, Lodging, Meal Reimbursement Rates.

Transportation Expenses: Expenses associated with transportation which include, but are not limited to, parking, tolls, or fuel.

Travel Status: A condition which occurs as a result of an employee conducting appropriately approved, necessary Office business away from his designated duty post, and the period of travel is expected to last a minimum of 12 hours. Employees whose position requires regular and recurring travel within the State are not in a travel status.

Volunteer: A person who performs hours of service for civic, charitable, or humanitarian reasons, without promise, expectation, or receipt of compensation for services rendered. An employee may not volunteer to perform the same, similar, or related duties for the Office that the employee is normally paid to perform.

PROCEDURES

1. **Legality and Accuracy of Travel Claims:** Employees shall ensure that they have a clear understanding of allowable travel expenses before departing. Employees are directly responsible for the legality and accuracy of their individual travel claims. Claims submitted for unauthorized travel expenses will not be honored, and are not reimbursable. Employees who knowingly and willfully submit falsified travel claims shall be subject to discipline and possible prosecution.
2. **Travel Requests:** Except for investigative travel and extraditions requests for travel costs must be made in advance of the travel. Travel requests shall be routed through the chain of command to the Chief of Administration for approval, prior to being submitted to the Travel Unit. The travel request must be received by the Chief of Administration at least 30 business days prior to the travel date. Commanders should exercise discretion in sending the appropriate number of individuals to the same seminar, conference, or meeting.
 - A. Employees are prohibited from making their own hotel, transportation, or conference reservations. The Travel Unit must be used to make these arrangements, with the exception of extradition travel as the Extraditions Unit shall coordinate their own airline, lodging, and automobile rental arrangements.
 - B. **AZPOST Travel Requests:** All requests for AZPOST travel and training must first be approved by the Training Division's AZPOST representative. After approval by the AZPOST representative, the employee shall further their travel request as specified in the General Travel Requests section of this Policy.
 - C. **General Travel Requests:**
 1. Employees shall complete the *Training/Travel Request Form* with as much information as possible. The information shall include the dollar amount for registration and the estimated travel costs which include transportation, per diem, and lodging. The Travel Unit may be contacted for assistance in obtaining this information.
 - a. Air fare cost estimations should include baggage fees, as applicable.

- b. Lodging fee estimations should include any mandatory fees, referred to as resort fees, and parking fees, as applicable. Baggage, resort, and parking fees shall be listed under miscellaneous on the *Training/Travel Request Form*.
 2. Employees shall prepare a justification memorandum describing the training or purpose of the travel and attach it to the *Training/Travel Request Form*.
 3. The *Training/Travel Request Form* and justification memorandum shall be forwarded through the chain of command to the Chief of Administrative for approval.
 - a. If the justification memo is not attached when submitted, the Chief of Administration will return the form to the respective bureau.
 - b. The Chief of Administration shall forward the paperwork to the Travel Unit once the travel request has been approved.
 4. The Travel Unit will attempt to ensure the timely processing of all requests; however any requests not received by the Chief of Administration at least 30 business days prior to the travel date will be denied.
 - D. Investigative Travel: If time permits, investigative travel requests should be submitted as specified in the General Travel Requests section of this Policy. However, in exigent circumstances, travel may begin with a verbal approval from the Chief of Administration.
 1. Within five business days of the completion of investigative travel, the *Training/Travel Request Form* and justification memorandum shall be submitted for final approval through the employee's chain of command to the Chief of Administration.
 2. The Chief of Administration shall forward the approved paperwork to the Travel Unit.
 - E. Extradition Travel: Extradition travel requires a valid court directive which necessitates official travel. Paperwork for extradition travel shall be coordinated by the Extradition Unit.

3. **Travel Approval:** All travel must have prior approval.

 - A. Claims for unauthorized travel expenses cannot and will not be paid.
 - B. After the employee has been officially notified that his travel has been approved, he must immediately inform the Travel Unit of any pertinent information he has that may assist with the travel arrangements.
 - C. An employee in approved travel status shall be entitled to reimbursement of the various expenses specified in this Policy and appropriate Worker's Compensation Benefits through Maricopa County Risk Management.

4. **Cancellation of Approved Travel:** Reservations for services such as lodging are frequently guaranteed at the time of the reservation. Guaranteed reservations can often be canceled without penalty, if done far enough in advance of the scheduled arrival.

 - A. It is the obligation of each employee scheduled for travel to cancel all reservations as soon as reasonably possible if unable to travel.

1. The employee will be required to notify their chain of command of the cancellation and the supervisor will notify the Travel Coordinator in an e-mail or memo of the change.
2. An employee shall not transfer approved travel to another employee without written authorization from the chain of command and the Chief of Administration.
- B. Employees who, without authorization, make travel arrangements beyond their pre-arranged travel plans may be held liable for any charges incurred due to failing to cancel guaranteed reservations.
- C. Employees who are approved for travel and have received airline tickets in their name, but are unable to depart as scheduled, shall notify both their immediate supervisor and the Travel Unit, as soon as possible. At no time shall the employee distribute tickets and reservations to another employee.
5. **Change in Established Travel Plans:** All changes to established travel plans must be approved by the Chief of Administration.
 - A. Any change to travel plans which incur additional expenses must be justified as Office business and must be submitted in writing for approval by the Chief of Administration.
 - B. Any need for a change in travel plans for personal reasons must be documented in writing and approved by the Chief of Administration prior to the travel.
6. **Travel Allowance Advances:** Employees are eligible for an advance travel allowance upon approval of travel.
 - A. General and Investigative Travel:
 1. If time permits for processing an advance travel allowance, the allowance will be disbursed on the employee's regular paycheck immediately prior to the travel.
 - a. Conferences, meetings, and seminars, as well as transportation costs by common carrier and lodging, will be paid to the vendor by the Travel Unit.
 - b. The employee will receive 75% of the per diem allowance. The remaining 25% is paid to the employee post-travel.
 2. If time does not permit for processing an advance travel allowance because the travel request is received close to the departure date, the traveler must use personal funds, which will be reimbursed on the employee's next paycheck, following the travel request approval.
 - a. Claims which include lodging and transportation by common carrier or rented automobile shall be accompanied by itemized receipts which have been stamped "PAID," or otherwise acknowledge payment of charges. Airline travel claims must be accompanied by the airline ticket.
 - b. Receipts are required for local public transportation. In the absence of receipts, a short memorandum must be submitted to enumerate and justify the expenses incurred.

- c. Claims for per diem expenses shall be accompanied by receipts.
 - 3. Advances shall constitute a lien against wages. All unexpended travel advances shall be repaid to the Travel Unit by personal check, cashier's check, or money order made payable to the Maricopa County Sheriff's Office. The check shall be forwarded to the Travel Unit for deposit within ten working days of the employee's return.
 - B. Extradition Travel:
 - 1. Advance of the per diem for extradition trips will be made by cash or check issued to the traveler, at 100% of the allowance.
 - 2. Employees receiving an extradition advance shall sign a log, acknowledging receipt. The balance of the cash advance shall be returned to the Extradition Unit and must be returned in cash, within two working days of the employee's return.
 - C. Failure to return unexpended travel advances in a timely manner shall result in an automatic deduction from the employee's next paycheck.
7. **Transportation:** Transportation may occur in Office, privately owned, or rented vehicles; inter-city buses; trains; commercial air carriers; or on local public transport.
- A. Privately Owned Vehicles: Approved travel in privately owned vehicles must be by the most direct, regularly traveled route, as computed from a highway map or odometer reading, and subject to the provisions of Policy GE-4, *Use, Assignment, and Operation of Vehicles*. The allowance for this travel shall be based on the current, authorized mileage rate.
 - B. Rented Vehicles: Investigative and extradition travel may utilize rented vehicles based upon the geographical destination and with prior approval of the appropriate commander. All other use of rented vehicles for travel purposes must be authorized in advance by the Chief of Administration.
 - 1. Employees must have a valid driver's license to operate a rented vehicle while conducting Office business.
 - 2. The comprehensive collision liability insurance offered by the rental car company should be waived, as the County is self-insured and covers rented vehicles. If the employee purchases the comprehensive collision liability insurance, he will not be reimbursed for the expense.
 - 3. Vehicle rental for extradition travel is authorized and arranged by the Extradition Trip Coordinator. A full-size car shall be authorized unless specific needs for the travel dictate differently. For example, a larger vehicle may be authorized for extradition trips if it is necessary to pick up multiple prisoners.
 - 4. Vehicle rental for investigative travel shall be coordinated by the Travel Unit with prior approval from the appropriate commander. The needs of the investigation shall determine the appropriate size of the vehicle. For example, a SUV or truck may be necessary to transport equipment or evidence. In all cases, exceptions to the vehicle type or size must be approved prior to travel. A request for a different type or size vehicle requires the completion of a memorandum and the *Training/Travel Request Form*.
 - C. Commercial Air Carriers and Public Transportation:

1. Transportation by commercial air carriers shall be at the lowest practical airfare rate at the time of trip authorization and shall be booked by using Internet booking or directly with the airlines.
 2. Transportation to and from common carrier terminals shall be by hotel courtesy vehicle, when such service is available.
 3. Public transportation may be authorized to and from carrier terminals, or for other official Office business such as transport between approved accommodations and conferences, meetings, or seminar sites.
- D. Office Vehicles: The Chief of Administration, or his designee, may authorize the use of Office vehicles anywhere in Arizona or adjacent states to conduct law enforcement, investigations, or extraditions. Employees must submit a memorandum requesting approval to use an Office vehicle and shall detail the benefits or cost savings to the Office as opposed to using traditional travel methods such as air, train, or bus. This memo must be included with the original *Training/Travel Request Form*.
1. Any administrative use of County vehicles outside of Maricopa County, in which reimbursable expenses are anticipated, must have the prior written approval of the Chief of Administration.
 2. Under no circumstance is an Office vehicle to be used for non-per diem covered business activities in or out of state while traveling. Unless prior approval has been received, only authorized Office employees are to be in the vehicle while travelling.
- E. Transportation Expenses:
1. Charges for fuel will be covered as transportation expenses when proper receipts are submitted.
 2. Tolls will be reimbursed without receipts for general or investigative travel. For extradition travel, a written memorandum is required for reimbursements of tolls without receipts.
 3. Employees shall use self-parking when available.
 4. For extradition or investigative travel, a limited number of parking passes for parking Office vehicles at Sky Harbor International Airport are provided by the Extraditions Unit.
 - a. Airport parking of an Office vehicle at Sky Harbor International Airport for extradition travel is authorized.
 - b. Long term airport parking for investigative travel may be authorized if it is anticipated that a prisoner may be transported from the airport to an Office jail, or when other investigative needs require the use of an Office vehicle to be parked at Sky Harbor International Airport. This need should be documented in a travel request concerning the use of an Office vehicle.
- F. Carrying a Weapon Aboard a Commercial Airline: When traveling on Office business aboard any commercial airline and while carrying a weapon, the employee must obtain clearance from the Transportation Safety Administration (TSA) and receive a TSA Clearance Number prior to

departure. The TSA clearance for carrying a weapon onboard a commercial aircraft can be obtained through the Extraditions Unit. In accordance with TSA regulation, only full-time, sworn and compensated deputies are authorized to carry a firearm onboard a commercial airline, if such travel may require the use of a firearm.

8. **Lodging:** Lodging must be at a commercial establishment and should always be reserved at the lowest available rate, to include resort fees, if applicable.

A. General and Investigative Travel:

1. When lodging is not reserved by the Travel Unit prior to travel, the commercial establishment's original, itemized receipt is required for reimbursement. Procurement card receipts in lieu of the original receipt will not be accepted.
2. Lodging expenses should not exceed the limit, as specified in the Federal U.S. General Services Administration Per Diem Rates (www.policyworks.gov/perdiem), for each 12 hour day in a travel status. Any amount exceeding this limit must be justified in a detailed memorandum and approved through the chain of command.
3. If a non-Office employee shares a room with an Office employee, only the single room rate can be claimed, unless the non-Office employee is travelling on authorized official Office business.

B. Extradition Travel:

1. The Extraditions Unit accepts procurement card receipts for extradition trips. All receipts must be marked paid or show a zero balance.
2. Lodging expenses should not exceed the maximum allowance prescribed in the Federal Travel Management Policy (FTMP) for extradition trips. Occasionally, a special event or convention at the travel destination may require authorization for higher lodging rates. This should be brought to the attention of the Extraditions Commander and approved prior to booking lodging. It is also necessary to document this approval in the comment section of the *Prisoner Trip Expense Report*, in addition to a written memorandum. Without prior approval, unauthorized expenses shall become the responsibility of the employee.

- C. Lodging costs incurred within 50 miles of the employee's designated duty post or residence, or within Maricopa County, will not be reimbursed unless the lodging is in the best interest of the Office, and has been approved by the Chief of Administration.

9. **Per Diem for Meals:** Employees authorized to be in a travel status, including extradition, are subject to the per diem limitations for meal amounts, as specified in the Federal U.S. General Services Administration Per Diem Rates (www.policyworks.gov/perdiem). The daily allowance shall be calculated for a calendar day, midnight to midnight. If the employee is not in travel status for an entire calendar day, then the daily allowance shall be prorated as follows:

- A. The applicable meal and incidental expense rate shall be prorated, starting with the quarter day in which travel begins and ending with the quarter day in which travel concludes.
- B. For each six-hour period that the employee is in travel status on that day, one-fourth of the applicable meal and incidental expense rate shall be allowed.

- C. Meal per diem for airline travel will be calculated based on two and one half hours prior to departure time and one hour after arrival time.
 - D. Extradition trip per diem will be paid in advance of the trip by cash or check, if available, and will be advanced at 100%.
10. **Incidental Expenses – Extradition Travel:** If requested, incidental expenses incurred on an extradition trip will be reimbursable up to a maximum of \$6 per 24 hour period; refer to Federal U.S. General Services Administration Per Diem Rates (www.policyworks.gov/perdiem).
11. **Non-Reimbursable Expenses:** Non-reimbursable expenses shall include, but are not limited to, in-room movies, valet service, valet parking, liquor, entertainment, and long term parking at the airport.
12. **County Procurement Cards:** County credit cards issued for travel expenses shall be used as specified in Policy GE-2, *County Credit Cards* and the Maricopa County Sheriff's Office Procurement Card (P-Card) User's Manual.
- A. Employees who submit an application for a procurement card and those employees requesting credit limit increases for existing cards will be required to go through the Procurement Card Application process. The process must be completed and approved by the chain of command in order to establish a procurement card or an increase to an existing card's credit limit. Employees shall refer to the Maricopa County Sheriff's Office Procurement Card User's Manual regarding New Card Issues for instructions.
 - B. Procurement Travel Cards shall be issued to personnel assigned to the Extraditions Unit. At all times, cardholders will adhere to Office guidelines concerning appropriate use, to include periodic audits of card activity. Cardholders accept responsibility and liability for inappropriate use of procurement cards. The Chief of Administration, or his designee, will establish limits on procurement cards to allow for emergency and secondary trip coordinator responsibilities.
13. **Travel Outside of the Continental United States:** The approval of the Chief of Administration is required for travel out of the continental United States. The following conditions apply:
- A. Utmost discretion must be used in approving requests for travel outside of the continental United States. The conference, meeting, or seminar must be unquestionably professional in content and should prevail only if a professional conference, meeting, or seminar of similar quality cannot be found within the continental boundaries of the United States within the year.
 - B. The maximum per diem rate will be defined by the Chief of Administration, or his designee, prior to the travel.
 - C. Before submitting claims, the Travel Unit should contact any banking institution's international division to determine the daily rate of exchange for the location to which the employee is traveling, if applicable. Bills and receipts will be recorded in terms of foreign currency. The rate of exchange in effect at the time the expenses were incurred is needed for employees to be properly reimbursed.
 - D. In accordance with Maricopa County General Travel Policy A2313, extradition and investigative travel are exempt from these requirements.
14. **Completion of Travel:**

- A. General and Investigative Travel: The Travel Unit shall forward a *Travel Authorization and Expense Report* to an employee approved for travel. The employee shall complete the *Travel Authorization and Expense Report* and submit the form and all travel documents within 10 business days of completion of travel to the Travel Unit. If a *Travel Authorization and Expense Report* is not turned in within 14 business days, further recovery actions or disciplinary actions may be instituted, including forfeiture of payments to the employee.
 - B. Extradition Travel: Extradition expense reports and documentation, including receipts and required memorandums, shall be submitted within 2 business days of the employees return from the extradition trip. The completed expense report and all documentation related to the extradition will be audited by the Extradition Travel Coordinator and the Extraditions Unit Supervisor, or Extraditions Commander, to maintain compliance with Office and County travel policies, and ensure completeness of documentation, and conformity to appropriate business practices.
15. **Awards and Incentives:** Employees are prohibited from requesting or accepting the assignment of flight miles in any airline's frequent flyer program, or from participating in any reduced fare coupons, free tickets, or other tangible awards, or incentives while traveling on Office business. Any promotional benefits or material received from an airline or other commercial establishment in connection with official travel may not be retained for personal use. The Travel Unit and Extraditions Unit are authorized to accept awards or incentives on the Office's behalf. These benefits may only be used for official Office business.
16. **Employee Conduct:** Employees are expected to conduct themselves in an exemplary manner as official representatives of the Office when attending any school, seminar, or conference; or otherwise engaging in any official business which requires travel. Acts or misdeeds occurring during travel which constitute violations of established laws or ordinances, Policy CP-2, *Code of Conduct*, or any other established Policy of the Office, shall be reported, investigated, and employees may be disciplined, as specified in Policy GC-17, *Employee Disciplinary Procedure*.

Attachment #7

Maricopa County Internal Policy	Title: General Travel	Number: A 2313 Issue Date: 5/7/2003
Policy Category: Transportation Initiating Department: OMB	Approved By: <i>Max Wilson</i> , Chairman Board of Supervisors	Revision No: 2 Revision Date: 3/28/2012

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Maricopa County Internal Policy	Title: General Travel	Number: A 2313 Issue Date: May 2003
Policy Category: Transportation	Initiating Department: OMB	Revision No: 2 Revision Date: March 28, 2012

I. PURPOSE

The purpose of this policy is to establish consistent procedures and define overall responsibility governing travel for a County purpose and use of private vehicles and/or aircraft for County travel by Elected Officials, employees and non-employees to ensure effective management of expenditures in accordance with ARS §38-621 et seq. and other applicable laws.

II. DEFINITIONS

A. **Allowance**: A fixed amount of money permitted for a prescribed travel activity.

B. **Appointing Authority**: An Elected Official, the County Manager, Deputy County Manager, Assistant County Manager, or Department/Special District Director, Manager or designee as appropriate in relation to the Traveler. Specifically, (unless otherwise designated in writing pursuant to Section IV.B.) Appointing Authorities are as follows:

- Elected Official for all employees in an elected official's office. (See Section VIII for Elected Officials).
- Board of Supervisors Chairman for the County Manager.
- The County Manager for all Deputy County Managers and Assistant County Managers and Direct Reports.
- Assistant County Managers for all Direct Reports and Department Directors within their agency.
- Department Directors for all employees within their department.
- Superior Court Presiding Judge or designee for Judicial Branch employees.
- Board of Directors Chairman or Chairman's designee, for Special District Chief Executives.

C. **Base Mileage**: Round trip commuting distance between home and duty post.

D. **Commercial Establishment**: A commercially recognized and accepted business that provides goods and/or services.

E. **Contract Employee**: An employee paid through payroll and consistent with the definition of "Contract Employee" given in the Compensation Plan. Briefly, "an employee whose terms and conditions of employment are subject to a written agreement."

F. **Contractor**: These individuals are not considered employees of the County/Special District and are not covered by this Policy. Payments for travel to Contractors is subject to the terms and conditions of their contract

G. **Department**: A department is a specialized division within the County. Examples are the Department of Finance or the Office of Management and Budget.

H. **Duty Post**: The place where the Traveler spends the largest portion of the regular workday or working time or the place where the Traveler returns on completion of special assignment. (A.R.S. §11-215)

I. **Elected Official**: A person who is chosen by ballot to an office or post of authority by eligible voters to represent them in a public capacity and perform the duties for which they were elected.

J. **Emergency**: A serious or urgent situation or occurrence that happens unexpectedly, demands immediate action, and requires an exception to any part of this Policy.

K. Employee: A person who is paid a wage, salary, or stipend from public monies in accordance with official entries on a County payroll. This definition includes all classified, unclassified, temporary, or Contract Employees.

L. Federal Travel Management Policy (FTMP): A division of the U.S. General Services Administration (GSA) which provides information on Federal travel management policies and travel-related activities for the Federal Government. GSA sets the domestic per diem rates for Federal agency travelers while on official business for the Government. These rates are part of Appendix A to Chapter 301 of the Federal Travel Regulations and are updated on a fiscal year cycle, effective October 1 of each year. The County/Special District uses these rates for lodging, meal and incidental expense reimbursements (see www.gsa.gov).

M. Hours Worked: Employees to whom the Fair Labor Standards Act (FLSA) applies (non-exempt employees) may be eligible to have some hours counted as "hours worked" while in travel status. "Hours worked" may generally be counted under the following circumstances:

1. travel that occurs during the employee's work day; this may include travel from job site to job site.
2. when out-of-county travel is required and an overnight stay is not required: all time spent traveling between the two destinations may count as "hours worked." However, time spent traveling between an airport or other station and the employee's residence during the employee's departure or return is not considered "hours worked."
3. when out-of-county travel requires an overnight stay time spent traveling to and from the destination is counted as "hours worked" only to the extent that it coincides with the employee's regular work hours. As an example, if a non-exempt employee travels on Saturday or Sunday and it is during the time they would regularly be at work on Monday or Tuesday, the time spent traveling on Saturday or Sunday would be work time. Travel which occurs outside of the employee's regular work hours may not be counted as "hours worked" unless the employee performs work for the County/Special District while in travel status.

N. Incidental Expenses: Expenses of a minor nature related to County/Special District business or to the Traveler's activities while in Travel Status.

O. Lodging Rate: The base rate defined by the vendor prior to the application of taxes, etc.

P. Long-Term Subsistence Travel: The situation which requires a Traveler to be in Travel Status for more than seven (7) consecutive days.

Q. Map Mileage: Established mileage on a map between cities and towns.

R. Meals: Foods served and eaten in one sitting. These include breakfast, lunch, and dinner. Continental breakfasts which only include donuts, bagels, muffins, juice, coffee, etc., are not considered a meal for purposes of this Policy.

S. Mileage Reimbursement Rate: The prevailing Federal reimbursement rate. Reference Tax Topic 510 – Business Use of Car and/or Publication 463, *Travel, Entertainment, Gift and Car Expenses*, for the current standard mileage rate.

T. Non-Employees: A person who does not fit the definition of Employees as stated in this Policy. A Non-Employee could include volunteers or members of Boards and Commissions.

U. Non-Reimbursable Expenses: Expenses generated by Traveler which are not considered to be related to business.

V. Parking – Long-Term: Leaving a vehicle for extended periods, where payment is required, typically at a Station or off-site parking location (located nearby for the specific purpose of providing parking for the Station). Long-term parking is not related to the actual length of time the vehicle is left in the garage or lot but rather the rate established for long-term versus short-term parking.

Q. Parking – Short-Term: Leaving a vehicle, where payment is required, for short periods of time while conducting business.

R. Per Diem: A daily allowance for lodging (excluding taxes), meals, and related incidental expenses.

S. Pre-Paid Expenses: Any expense paid by the County/Special District before the completion of travel.

T. Procurement Card: This is a credit card like method of payment issued by specific individuals within Departments/Special Districts who have been given procurement authority to a specific amount and function.

U. Reasonable Accommodation: For the purposes of this policy, a reasonable accommodation is a modification or adjustment in the travel plans which will enable the Traveler with a "known" disability to be more comfortable while in Travel Status. The accommodation generally will be triggered by a request from an individual with a disability, who frequently will be able to suggest an appropriate accommodation. Accommodations must be made on an individual basis because the nature and extent of the accommodation will vary in each case (In conjunction with the guidelines of the Americans with Disabilities Act (ADA)). Maricopa County/Special District assumes no responsibility for a contracted transportation, lodging, and/or service company's failure to provide the requested accommodation.

V. Special District: Flood Control District of Maricopa County, Maricopa County Library District, Maricopa County Stadium District.

W. Station: Any airport, bus terminal, train depot, or similar transportation departure or arrival place.

X. Travel Authorization and Expense Report: The form that must be filed out for reimbursement for any travel related costs. The acceptable form is included as Appendix B.

Y. Travel Advance: Funds advanced to the Traveler to meet anticipated travel related costs. A travel advance represents a lien against wages.

Z. Travel Coordinator: A person designated by the Appointing Authority to plan, organize, and manage departmental travel and travel-related activities.

AA. Travel Expenses: Costs for registration, transportation, lodging, meals, and incidental expenses directly related to travel.

AB. Travel Status: When a Traveler is conducting appropriately approved, necessary County/Special District business at least 50 miles away from their designated Duty Post and the period of travel is expected to last a minimum of 12 hours. Travel status starts at the time the traveler departs from their home, office or other authorized point and ends on the day the traveler returns to their home, Duty Post, or other authorized point.

AC. Traveler: The Elected Official, employee, or non-employee who is in County approved Travel Status or is seeking approval for County travel.

AD. Vendor: One who sells goods or services.

III. POLICY

- A. Travel is warranted when personal contact is the most effective method of conducting official County business.
- B. The purpose of the travel must be for the public's benefit and related to the County's ' business activities.
- C. Travel must be completed within the Department/Special District budget approved by the Board of Supervisors or appropriate Special District Board of Directors.
- D. When travel is justified, signature of the appropriate Appointing Authority is required prior to, and upon completion of travel.

- E. All authorized Travelers, when representing the County/Special Districts in Travel Status, may claim allowances and expenses and be reimbursed as provided by law and County/Special Districts policy.
- F. Claims for unauthorized travel expenses will not be honored and are not reimbursable.
- G. Attendance at local conferences and/or seminars is not considered travel, but is subject to reimbursement for mileage and seminar expense per this policy.
- H. Attendance at conferences, seminars, and meetings should only be approved when essential contacts can be made or significant information obtained which is important to the operation of the Department/Special District or to the enhanced performance of the Traveler(s).
- I. Departments/Special Districts should send the fewest number of Travelers possible to the same seminar, conference, or meeting.
- J. Travel may only be arranged by the Department/Special District Travel Coordinator or other authorized person designated by the Appointing Authority.
- K. When making travel arrangements, it is the responsibility of the individual to notify the Department/Special District Travel Coordinator of any reasonable accommodations that may be needed under the Americans with Disabilities Act. The Travel Coordinator will ensure reasonable accommodation requests are coordinated with travel, transportation, lodging, meals, and conference officials, as necessary, so they may comply with the needs of the employee.
- L. Under no circumstances shall expenses for personal travel be charged to, or be temporarily funded by, the County or any Special District. Any violations will be referred to the appropriate departmental authority for any necessary action.
- M. Travelers who knowingly and willfully submit falsified travel claims shall be referred to the appropriate departmental/Special District authority for any necessary action.

IV. AUTHORITY AND RESPONSIBILITY

- A. The Appointing Authority has the prerogative to approve travel requests for their Department/Special District and/or any advisory board or commission members serving their departments. When the Appointing Authority is the Traveler, the official at the next highest level in the organization must approve the travel request.
- B. Appointing Authority may delegate its prerogatives to another level within their organization (e.g. Division Manager). Such delegated prerogatives must be in writing and on file with the Appointing Authority. However, Appointing Authority is ultimately responsible for ensuring that all approved travel requests comply with the General Travel Policy and that funds are available within their budgets for the approved travel.
- C. Waivers to this policy may be requested when a unique situation arises. Waivers must be in writing and be submitted to the Appointing Authority for approval. If the traveler is the Appointing Authority, the official at the next highest level in the organization must approve the waiver.
- D. Each Department/Special District is responsible for managing its own travel budget, and monitoring actual expenditures against budget authority. In addition, the Department/Special District is responsible for coordinating with the Department Payroll Coordinator to initiate travel advances and travel reimbursements to employees. Further, each Department/Special District is responsible for coordinating with Accounts Payable to initiate advance payments to vendors if appropriate.
- E. Appointing Authorities may authorize employees to use their privately owned vehicles for travel and are responsible for ensuring that all policies and procedures governing their use are followed. This includes individuals in a "travel status" and those who are utilizing their privately owned vehicle in the completion of County business.
- F. Federal guidelines require that all requests for reimbursement be made in a timely manner. A timely manner as established by the County is no later than 30 days after the date the expense was incurred. Failure to comply with this requirement will result in the non-reimbursement of the request.
- G. Travel Coordinators are required to ensure that all requests for reimbursement for travel related expenses must be made and submitted on the Travel Authorization and Expense Report.

V. TRAVEL GUIDELINES

A. Most Economical Plan

To maximize the effectiveness of County/Special District resources allocated to travel activities, all travel plans should be a combination of the most economical and safest travel, lodging, and cost of employee time. Travelers are encouraged to maximize the use of available reduced fares. For example, while employees are not normally permitted to depart earlier or stay longer than required at County/Special District expense, this is permissible when the net effect is an overall lower cost for the trip and there is no significant loss of productive employee work time.

B. Document Preparation

Travelers are responsible for working with Departmental Travel Coordinators in the preparation of travel requests before leaving on assignments. Each Department/Special District is required to complete and maintain all Travel Authorization and Expense Reports, "on-site" for three (3) years. **Do not** send Travel Authorization and Expense Reports to Accounts Payable or Payroll. It is the Department's/Special District's responsibility to ensure compliance with this Policy.

C. Compensation while in Travel Status

Some provisions of the Fair Labor Standards Act (FLSA) may impact the compensation of some employees while they are in travel status. Departments/Special Districts are required to comply with all applicable laws related to employee travel.

D. Long-Term Subsistence Travel

The approval of the County Manager, or for Special Districts the Chairman of the Board of Directors or Chairman's designee, is required for Long-Term Subsistence Travel and reimbursement, which may be available under the following conditions:

1. An Employee is temporarily assigned to a Duty Post which is not normally a Duty Post for the Employee's Department/Special District, or
2. The Duty Post is outside of Maricopa County and requires overnight lodging for the Employee.

E. Out of the Continental U.S. Travel

The approval of the County Manager or for Special Districts the Chairman of the Board of Directors or Chairman's designee is required for travel out of the Continental United States. The following conditions apply:

1. Appointing Authority must exercise utmost discretion in approving requests for travel outside of the Continental United States. Any conference, meeting, or seminar occurring outside the Continental United States can be attended only if those of similar quality cannot be found within the Continental United States within the year.
2. The maximum Per Diem Rate will be defined by the Appointing Authority prior to the travel.
3. Before submitting their claims for reimbursement, Travelers should contact the International Division of any banking institution to determine the daily rate of exchange for the location to which they are traveling, if applicable. Bills and receipts will be recorded in terms of foreign currency. The rate of exchange in effect at the time the expenses were incurred will govern reimbursement.

F. Change to Travel Plans before Travel

Any change or cancellation to travel plans prior to entering Travel Status, that results in additional expense to the County must be made in writing to the Department/Special District at the time that the individual knows of the need to change or cancel the travel plans. This notification must be acknowledged and approved in writing by the Appointing Authority. Before travel arrangements are made for a traveler, there should be a verbal and/or written commitment between the traveler and the Approval Authority that the traveler has every intention of completing the travel. The Department/Special District must review each change or cancellation resulting in additional expense to determine whom, the Traveler or the Department/Special District, will pay for the additional expenses incurred due to changing or cancelling the travel plans.

G. Change to Travel Plans during Travel

During approved travel any change to travel plans, which results in additional expense to the County, must be reported to the Appointing Authority immediately upon return. A change for personal reasons must be approved by the Appointing Authority prior to the change in travel plans, if possible.

After the completion of travel the Department/Special District must review each change resulting in additional expenses to determine who, the Traveler or the Department/Special District, will pay for the additional expenses incurred.

H. Emergency Travel

In the event a Traveler must travel or alter travel plans due to an Emergency notification must be made to the Department/Special District at the traveler's earliest opportunity. The notification must state the reason for the Emergency and be signed by the Appointing Authority.

I. Completion of Travel

In order for the County/Special District financial records to remain current, all travel documents should be submitted for reconciliation within 14 days of completion of travel. If completed Travel Authorization and Expense Forms are not submitted within 30 days, further recovery actions and/or disciplinary actions may be instituted, including forfeiture of payments to the employee.

An employee contesting the final rejection of an expense reimbursement request under this policy must comply with A.R.S. §11-622, Claims and Warrants.

VI. PROCEDURES

A. Transportation

In the best interest of the County/Special District, reimbursement for transportation expenses will be limited to an amount equal to the price of the most cost-effective method of transportation. Costs related to transportation may be claimed as an expense only if receipts accompany said claim, unless otherwise noted. Transportation should be limited to the most cost-effective method; subject to any Reasonable Accommodations that may be necessary. To determine the most cost-effective method of transportation the Department/Special District should consider direct costs, safety, convenience and traveler's time.

1. Commercial – Air

Transportation by scheduled airlines shall be at the lowest available airfare rate, including baggage and other related costs, at the time of trip authorization. A fare other than the lowest rate may be used only when seats are not available at the lowest fare or air travel at a higher cost will result in an overall cost savings, including cost of employees time to the County/Special District. Commercial airlines should be booked via the Internet or directly with the airline. Payment via a County approved Procurement Card is preferred.

- a. **Miscellaneous Air Travel Issues:** The following is a list of miscellaneous issues related to air travel:

- Any promotional benefits or awards received from an airline or other commercial establishment in connection with official travel may be retained for personal use by the Traveler.
- Flight insurance purchased by the traveler is not reimbursable.
- The use of privately owned and rented aircraft requires the prior approval of the County Manager in accordance with *Policy A2324*, or for Special Districts, the Chairman of the Board of Directors or the Chairman's designee.
- Chartered aircraft travel is allowed provided a common carrier (scheduled airlines, railroads, or intercity bus systems) is not feasible or an alternative mode of travel is impractical. If approved, chartered air service may only be obtained from Federal Aviation Administration (FAA) licensed commercial flight operators. Chartered aircraft travel must be approved by the County Manager or for Special Districts, the Chairman of the Board of Directors or the Chairman's designee prior to the travel arrangements being made.

2. Rented Motor Vehicles

- a. The use of **rented motor vehicles** must be for the advantage of the County/Special Districts and not solely for the personal convenience of the traveler. The use of rented motor vehicles should only be considered when rental of a vehicle would result in an overall reduction in total expenditure for a particular trip. Only an individual with a valid Arizona driver's license may operate a rented motor vehicle on County/Special District business.
- b. The comprehensive and collision liability insurance offered by the rental car company should be waived when renting a motor vehicle. The County/Special District's self-insurance program provides coverage for physical damage and liability provided the employee is driving within the scope of employment and following all applicable laws as outlined in the Revised Restated Declaration of Trust for Maricopa County, Arizona Self-Insured Trust. The County/Special District will not reimburse the purchase of comprehensive and collision insurance.
- c. Rented motor vehicles are restricted to sub-compact, compact, or mid-size sedans unless a larger vehicle is necessary for cost efficiency because of the number of authorized travelers.

3. Personal, County or Special District-Owned Motor Vehicles

Employees using their personal vehicles or County/Special District owned vehicles for travel must have obtained prior Department/Special District authorization and must comply with all applicable County policies governing such use.

4. Related Transportation Costs

Acceptable related transportation costs include:

- a. Gasoline – reimbursed when a rented motor vehicle is used; receipts required.
- b. Emergency repairs – for County/Special District vehicles only; receipts required.
- c. Bridge fees and tolls – list on the Travel Authorization and Expense Form; no receipts required.
- d. Local Transportation – ground transportation including taxi, bus, limousine, airport shuttle etc., may be reimbursed if use is in County/Special District's best interest – receipts or written statements are required.

- e. Parking – Short-term parking may be reimbursed with a receipt or by traveler's statement for metered parking. Long-term parking may be reimbursed if the Traveler can demonstrate that it is less expensive to utilize long-term parking rather than pay for round-trip airport shuttle or taxi service. If the long-term parking option is utilized, the traveler shall provide a quote (may be a written statement from a verbal quote) from a shuttle or taxi service which will verify the savings. It is the traveler's responsibility to determine and use the most economical option for travel to and from the station. Receipts are required.
- f. Airline Baggage Fees – Airline baggage fees may be paid by the County/Special District in advance up to \$100.00. If the traveler has baggage fees in excess of \$100.00, then the traveler must provide receipts upon return for reimbursement. If the traveler has baggage fees less than \$100.00, then the traveler must reimburse the County the difference. Receipts are required in either case. Travelers should use good judgment when packing to avoid excess baggage fees when possible.

B. Per Diem Expenses

A traveler must be in authorized Travel Status to be eligible for reimbursement of Per Diem and related travel expenses. The GSA establishes per diem rates for destinations within the Continental United States. Under this system, the Per Diem allowance for each travel day is established on the basis of the actual amount the traveler is required to pay for lodging plus the maximum allowable rate for meals and incidental expenses (M&IE).

Lodging and M&IE will be reimbursed and/or paid based on the GSA established rates.

1. Meals and Incidental Travel Expenses (M&IE)

- a. An allowance for meals (which includes tips) will be reimbursed at the GSA M&IE prevailing rate. Meals provided free on an airplane or included in the conference/seminar registration fees, must be deducted from the allowance.
- b. An incidental allowance for fees or tips will be reimbursed as outlined in the FTMP. Examples of typical fees and tips include: fees and tips given to hotel employees including restaurant and room attendants, baggage carriers, airline flight attendants, etc.
- c. Additional incidental expenses (i.e., telephone, fax, and copying charges) may be reimbursed if they are related to County/Special District business and are accompanied by a receipt. These additional expenses must be included on the Travel Authorization and Expense Form.
- d. Expenses incurred while in Travel Status for laundry, cleaning, and pressing of clothing are reimbursable as miscellaneous travel expenses **only after** the Traveler has accumulated five (5) consecutive nights lodging in Travel Status.
- e. Examples of non-reimbursable expenses include: in-room movies, valet service, valet parking, liquor, entertainment, and long-term parking (except as outlined in Section VI.A.4.e).

2. Lodging

- a. Lodging costs incurred within 50 miles of the Traveler's designated Duty Post or residence or within Maricopa County cannot be claimed as a travel expense unless the lodging is in the best interest of the County/Special District and has been pre-approved by the appropriate Appointing Authority.
- b. Lodging must be at a commercial establishment, and the Traveler should always request the lowest available rate (i.e., government, corporate, conference). The Department/Special District Procurement Card should be used to pay for all lodging. In the event the

Department/County Special District cannot pay for the lodging using the Procurement Card, reimbursement is available through payroll or, in an emergency, Accounts Payable.

- c. To obtain a reimbursement for lodging either through Payroll or Accounts Payable, the commercial establishment's original itemized receipt is required. Credit card receipts in lieu of the original receipt will not be accepted. Receipts must be marked paid or show a zero balance. Personal expenses must be paid by the Traveler and cleared from the final bill at checkout. The same criteria apply to use of the Procurement Card.
- d. Expenses for lodging will be reimbursed by using the lower of the rates detailed in FTMP or actual costs (see "e" below.). If the destination locality is not specified in FTMP, the standard reimbursement rate for lodging will be used. Please note that the Lodging Rate is the base rate before taxes and other items are included.
- e. If lodging expenses could not be obtained at or below the rate determined by GSA, a request for a waiver of the Per Diem rate explaining why it is in the best interest of Maricopa County or the Special District for the Traveler to stay at a particular facility (i.e., conference or training is at the facility and the cost of a rental car or taxi cab rides to the facility would equal or exceed the lodging rate listed in FTMP) must be approved by the Appointing Authority and attached to the travel authorization. The decision to stay at the conference site cannot be made solely on the basis of convenience to the Traveler.
- f. Only the single room rate can be claimed for payment. If a room is shared by two or more Travelers, the entire room cost should be paid and the reimbursement claimed by one Traveler. A notation must be made on the Travel Authorization and Expense Report of each Traveler indicating which Traveler claimed the reimbursement for lodging costs.

C. Mileage Reimbursement

Travel Status Mileage Reimbursement

- a. Prior to using their privately owned vehicles for County business, employees must be in compliance with all County policies and procedures and applicable laws.
- b. When claiming mileage in conjunction with approved travel, the claim is reported as part of the Travel Authorization and Expense Report submitted to claim reimbursement for all other expenses i.e., lodging, per diem, etc..
- c. Approved travel by privately owned motor vehicles must be performed by the most regularly traveled route as computed from highway map or odometer reading. Reimbursable mileage cannot exceed the Map Mileage.
- d. Mileage will be reimbursed at the Mileage Reimbursement Rate.
- e. Employees will be reimbursed for mileage in excess of Base Mileage.
- f. When a privately owned motor vehicle is used for out-of-state travel, maximum reimbursement will be the lower of either the current Mileage Reimbursement Rate or the lowest available airfare rate which was available at the time the trip was authorized.
- g. When two or more employees are traveling together for authorized purposes in the same vehicle, only one mileage allowance will be reimbursed.
- h. Repairs made to a privately owned motor vehicle will not be reimbursed by the County.

1. Non-Travel Status Mileage Reimbursement

- a. Prior to using their privately owned vehicles for County business, employees must be in compliance with all County policies and procedures and applicable laws.
- b. All non travel status mileage reimbursement is processed for reimbursement through regular payroll and is included in the employee's regular paycheck. Payroll must have the following information to process the mileage reimbursement:
 - Employee ID Number
 - Accounting String (Fund, Agency, Org Code, PAS Code, Reporting Category)
 - Employee Name and Phone Number
 - License Plate Number
 - Department Name
 - Travel Date(s)
 - Purpose/Destination
 - Odometer (Start and Finish)
 - Total Miles
 - Distinction between Personal Miles and County Related Miles
 - Total County Miles Eligible for Reimbursement
 - Statement "I certify that the preceding summary is a true statement of claim, in the performance of my duties."
 - Employee Signature Line & Date
 - Appointing Authority, or designee, Signature Line & Date
- c. The Mileage Reimbursement Rate will be maintained in the payroll system and will be updated with any rate changes implemented by the GSA. The effective date of the changes will be determined by the County Manager.
- d. Requests for reimbursement must be submitted no later than 30 days after the date the expense was incurred. Failure to comply with this requirement will result in the non-reimbursement of the request.
- e. The County will audit mileage requests to ensure validity and compliance with the policy and federal regulations.

D. Advance Payments

Payment of expenses prior to the scheduled travel dates will be processed using the following guidelines:

1. Payments to Outside Vendors

Advance payments to vendors to pre-pay registration fees or hotel reservations should be made using the Department/Special District Procurement Card. If the Department/Special District is not able to use the Procurement Card (i.e., vendor does not accept the Procurement Card), the original invoice or conference registration form (one original and one copy), must be attached to the payment voucher and these documents must be submitted to Accounts Payable for check payment. If the hotel does not accept the Procurement card the travel advance should include the hotel rate and tax.

2. Payments to Travelers

Travel advances will be available to the Traveler on the Traveler's paycheck immediately preceding the travel dates. A travel advance for the total estimated budgeted expenses for the trip (less any pre-paid expenses) may be advanced up to 100% at the discretion of the Appointing Authority. Manual checks will not be initiated for travel advances.

Each Department/Special District is responsible to ensure that travel plans are made in advance and adequate time is allotted to produce advances utilizing the regular payroll cycle. In emergency situations only, Accounts Payable will generate a check overnight. It is the Department/Special District's responsibility to provide Accounts Payable with a payment voucher and supporting documentation (i.e., a memo from the Appointing Authority explaining the need for payment and a copy of the Travel Authorization and Expense Form with all appropriate signatures).

E. Travel Reimbursements

Payment of any expenses upon return from scheduled travel will be processed using the following guidelines:

1. Payments to Elected Officials and Employees

After the travel has been completed, all documentation (original receipts, invoices, etc.) must be submitted and approved by the Department/Special District as required by this Policy. Receipts for meals are not required because a standard Per Diem allowance is provided. Reimbursement payments are made to Travelers through the payroll system and will be made within two pay periods.

2. Payments to Non-Employees

Non-employees will be reimbursed by submitting a payment voucher to Accounts Payable. See Sections VII and VIII for exceptions. After the travel has been completed, all documentation (original receipts, invoices, etc.) must be submitted and approved by the Department/Special District. Receipts for meals are not required because a standard Per Diem allowance is provided.

3. Payments to Maricopa County and Special Districts for Unused Travel Advances

Travel Advances will not exceed the estimated amount of travel-related expenses. If a travel advance was issued, and the travel expenses are less than the advanced amount, the difference between the two amounts must be returned to the County/Special District. The County/Special District must recover the funds via payroll deduction or via a personal check from the traveler within two pay periods after travel is completed.

4. Payments from Terminated Elected Officials and Employees

Prior to the final paycheck issued to any terminated Traveler, the Department/Special District shall ensure that all travel advances have been accounted for or repaid to the County/Special District. Any outstanding amount due the County/Special District shall be deducted from the Traveler's final paycheck prior to issuance. It is the responsibility of each Department/Special District to maintain a register of advances and reimbursements to ensure control over the advances and/or expenditures of all travel funds. If the Traveler is no longer an Elected Official or Employee, the Traveler shall deliver a personal check to be deposited in the appropriate fund by the Department. A matter of dispute or non-reimbursement may be referred to the County Attorney's Office for any necessary action and/or may be reported to the IRS as taxable income.

5. Payments to Employment Candidates

Upon receiving authorization of an Elected Official, County Manager, Deputy County Manager, Assistant County Manager, County Departments/Special Districts recruiting for vacant positions may reimburse candidates for costs incurred in traveling to Maricopa County for an employment interview. Reimbursement may include mileage, airfare, parking, meals, and where necessary, overnight accommodations for the interview candidate. The following requirements and restrictions also apply:

- a. The Department/Special District shall demonstrate the public need for the position, that it attempted unsuccessfully to recruit for and fill the position from a pool of local candidates; and the requisite background and/or skills for the position in recruitment are highly specialized, or are in critically short supply; and the local labor market is highly competitive for the position in recruitment.
- b. The Department/Special District shall demonstrate that it has sufficient available, budgeted funds to cover all expenses to be reimbursed.
- c. The person authorizing reimbursement for travel expenses shall forward the Department's/Special District's justification to the Director of the County's Payroll division.
- d. Accommodations for overnight stays shall be scheduled directly by the interviewing Department/Special District from a list of hotels provided by the Office of Procurement Services. In the event that a list of hotels is not available from the Office of Procurement Services, total reimbursement shall be capped at the Per Diem rates.
- e. Expenses for a spouse or companion shall not be reimbursed.
- f. Mileage for a personal vehicle will only be reimbursed where the candidate's round trip mileage exceeds two hundred forty (240) miles.

Employment candidates seeking reimbursement for permitted travel costs associated with an employment interview shall submit their receipts directly to the Department/Special District's Appointing Authority. Repayment of travel costs shall be processed directly by the recruiting Department/Special District and submitted to the County Finance Department.

VII. ADDITIONAL GUIDELINES OR EXCEPTIONS FOR THE COUNTY ATTORNEY'S OFFICE

- A. Requests for employee travel must be submitted on an Employee Training/Travel Request Form. See Maricopa County Attorney's Office (MCAO) Policy and Procedures.
- B. Requests for Victim/Witness travel must be submitted on a Victim/Witness Travel Request Form. See MCAO Policy and Procedures.
- C. Airfare and other paid modes of travel shall be obtained using the most appropriate means. Refundable tickets may be best if hearing or trial dates are uncertain or changed.

VIII. ADDITIONAL GUIDELINES OR EXCEPTIONS FOR ELECTED OFFICIALS

- A. As Elected Officials, and pursuant to A.R.S. §11-626 the Board of Supervisors are responsible to the taxpayers of Maricopa County. Therefore, there is no higher level authority within the County structure that can be defined as the Appointing Authority for the Board. To ensure appropriate checks and balances are in place, the Board of Supervisors are required to obtain the signature of another Board Member prior to the final reconciliation of travel documents and the payment of any related reimbursement, not prior to travel.
- B. As an Elected Official and responsible to the taxpayers of Maricopa County, the Appointing Authority for all Elected Officials (except the Board of Supervisors as defined above), will be the highest non-elected position or designee within their specific department.

IX. APPENDIX A

Frequently Asked Questions:

Question 1: What are the presumptions regarding the most advantageous method of transportation?

Answer: To maximize the effectiveness of County/Special District resources allocated to travel activities, all travel plans should be a combination of the most economical and safest travel, lodging, and cost of employee time. Employees are encouraged to maximize the use of available reduced fares. (Section V.A.)

Travel should be limited to the most cost-effective method available giving consideration to safety and other concerns. The most economical means of transportation will be used in traveling to and from airports. To determine the most cost-effective method of transportation, the Department/Special District should consider direct costs as well as the traveler's time. (Section VI.A.)

Question 2: Can I expand or alter my travel plans for personal reasons?

Answer: The traveler will travel to the destination by the usually traveled route unless the Appointing Authority authorizes a different route. Reimbursement will be limited to the cost of travel by a direct route or on an uninterrupted basis. The traveler will be responsible for any additional costs that are incurred. (Section V.G.)

Any change to travel plans, which incurs additional expense(s), must be justified as County/Special District business and approved in writing by the Appointing Authority. A change in travel plans for personal reasons must be in writing and approved by the Appointing Authority **prior to** the change in travel plans when possible. (Section V.G.)

Question 3: What is my liability if, for personal convenience, I travel by an indirect route or interrupt travel by an indirect route?

Answer: In the best interests of the County/Special District, reimbursement for transportation expenses will be limited to the amount equal to the most economical mode of transportation. (Section VI.A.)

The traveler will travel to the destination by the usually traveled route unless the Appointing Authority authorizes a different route. Reimbursement will be limited to the cost of travel by a direct route or on an uninterrupted basis. The traveler will be responsible for any additional costs that are incurred. (Section V.G.)

Question 4: What should I do with the compensation an airline gives me if it denies me a seat on the airplane?

Answer: Any promotional benefits or awards received from an airline or other commercial establishment in connection with official travel may be retained by the traveler for personal use. (Section VI.A.1.)

Question 5: May I keep compensation the airline gives me if I voluntarily give up my seat on my scheduled flight when the airline asks for volunteers?

Answer: Yes. Any promotional benefits or awards received from an airline or other commercial establishment in connection with official travel may be retained by the traveler for personal use. (Section VI.A.1.) (Also, see Travel Manual.)

However, there should be no significant change to the original travel plans and the change should not incur any additional expense. Any change to travel plans which

incurs additional expense(s) must be justified as County/Special District business and approved in writing by the Appointing Authority. (Section V.G.)

Question 6: Under what circumstances may I rent a car?

Answer: The use of rented motor vehicles must be for the advantage of the County/Special District and not for the personal convenience of the traveler. The use of rented motor vehicles should only be considered when rental of a vehicle would result in an overall reduction in the budget expenditure for a particular trip. (Section VI.A.2.a.) (Also, see Travel Manual.)

Question 7: Will I be reimbursed for the cost of the collision damage waiver (CDW) or theft insurance on the rental?

Answer: The comprehensive and collision liability insurance offered by the rental car company should be waived when renting a motor vehicle. The County/Special District's self-insurance program provides coverage for physical damage and liability provided the employee is driving within the scope of employment. If the traveler chooses to purchase the comprehensive and collision insurance, be advised that the County/Special District will not reimburse this expense. (Section VI.A.2.b.) (Also, see Travel Manual.)

Question 8: What am I reimbursed when I use my private vehicle after receiving approval from the Appointing Authority that such use is in the best interest of the County/Special District?

a. **Answer:** Mileage will be reimbursed at the prevailing federal rate. Information about the prevailing rate can be found by referencing

Question 9: What will I be reimbursed if I park my privately owned vehicle at the airport terminal while I am in travel status?

Answer: Long-term parking may be reimbursed only if the traveler can demonstrate that it is less expensive to utilize long-term parking rather than pay for round-trip airport shuttle or taxi service. . If the long-term parking option is utilized, the traveler shall provide a quote (may be a written statement from a verbal quote) from a shuttle or taxi service which will verify the savings. It is the traveler's responsibility to determine and use the most economical option for travel to and from the station. Receipts are required. (Section VI.A.4.e.)

Question 10: When may I use a shuttle or taxi service?

Answer: A shuttle or taxi service may be used when it is determined to be the most economical means of transportation when traveling to and from airports. (Section VI.A.)

Question 11: When does per diem entitlement start? Stop?

Answer: A traveler must be in authorized travel status to be eligible for reimbursement of per diem and related travel expenses. (Section VI.B.) Travel status starts at the time the traveler departs from his home, office, or other authorized point and ends on the day the traveler returns to his home, office, or other authorized point.

Question 12: If my Appointing Authority authorizes per diem reimbursement, will I still receive an M&IE allowance for a meal if the meal is provided by the airline or for a complimentary meal provided by the hotel or conference?

Answer: An allowance for meals (which includes tips) may be claimed in accordance to Federal Travel Management Policy except the traveler is not entitled to a reimbursement for a meal if it is provided free on an airplane or is included in conference or seminar registration fees. (Section VI.B.1.a.) (Also, see Section II – Definitions "Meals")

Question 13: Are laundry, cleaning, and pressing of clothing expenses reimbursable?

Answer: Expenses incurred for laundry, cleaning, and pressing of clothing are reimbursable as miscellaneous travel expenses only after the traveler has incurred five (5) consecutive nights lodging in travel status. (Section VI.B.1.d.)

Question 14: Are taxes included in the lodging portion of the per diem rate?

Answer: No. The lodging rate is the base rate before taxes and other items are included. (Section VI.B.2.d.)

Question 15: With regard to lodging, when is actual expense reimbursement warranted?

Answer: Expenses for lodging will be reimbursed by using the lower of the rates detailed in FTMP or actual costs. If lodging expense could not be obtained at the rate cited in FTMP, a request for a waiver to per diem must be attached to the travel authorization explaining why it is in the best fiscal interest of Maricopa County or the Special District for the traveler to stay at a particular facility and a signature by the appropriate Appointing Authority on the explanatory memorandum is required. (Sections VI.B.2.d. and e.)

Question 16: Can I make my own travel arrangements?

Answer: Each Department/Special District has a Travel Coordinator who has the specific responsibility to manage and coordinate travel activities. At the time a travel need has been identified, please contact your specific Travel Coordinator and they will advise you. Under no circumstances should travel arrangements be made without the knowledge of the Travel Coordinator. (Section III.K. and L.)

Question 17: Can I be reimbursed for airline baggage fees?

Answer: Airline baggage fees may be paid by the County/Special District in advance up to \$100.00. If the traveler has baggage fees in excess of \$100.00, then the traveler can be reimbursed after the travel has taken place. If the traveler has baggage fees less than \$100.00, then the traveler must reimburse the County the difference for the travel advance that was issued. Receipts are required in both cases.



TRAVEL AUTHORIZATION AND EXPENSE REPORT

SECTION I—FINANCIAL SYSTEM & ACCOUNT DISTRIBUTION SECTION

EMPLOYEE ID	FUND	AGENCY	ORG CODE	PAS	OBJECT	SUB OBJECT	REPORTING CATEGORY

SECTION II—TRAVEL INFORMATION SECTION

NAME OF TRAVELER (VENDOR)		TRAVEL STATUS		FUND SOURCE	
BEGINS: Date	Time			<input type="checkbox"/> COUNTY	
ENDS: Date	Time			<input type="checkbox"/> GRANT	
DEPARTMENT		<input type="checkbox"/> COMMERCIAL TRANSPORTATION specify type <input type="checkbox"/> PRIVATE VEHICLE License # <input type="checkbox"/> COUNTY VEHICLE County #		<input type="checkbox"/> OTHER	
PURPOSE OF TRAVEL					
DESTINATION					

SECTION III—EXPENSE & PAYMENT SECTION

(A) EXPENSE CATEGORY	(B) ESTIMATE OF EXPENSES	(C) ACTUAL EXPENSES	(D) PREPAYMENT AMOUNT	(E) PREPAYMENT, ADVANCE, DATES, NOTES, ETC.		
1. MILEAGE: Miles @ Per mile						
2. COMMERCIAL TRANSPORTATION (air, rail, bus, etc.)						
3. PER DIEM ALLOWANCE FOR DESTINATION Lodging Days @ Per night						
4. MEALS (see per diem worksheet attached) # of breakfast # of lunch # of dinner						
5. CONFERENCE/COURSE REGISTRATION FEES						
6. RENTAL VEHICLE & RELATED GAS/OIL						
7. GROUND TRANSPORTATION (local bus, taxi, shuttle, etc.) MAXIMUM \$2.00 PER 24 HOURS						
8. INCIDENTALS (parking fees, tips, personal phone calls.)						
9. OTHER (specify)						
* CERTIFICATION BY TRAVELER: "I certify that the preceding is a true statement of actual expenses incurred in the performance of County/Special District business."		(F) TOTAL	(G) TOTAL	(H) TOTAL	(I) AMT DUE CNTY (H>G)	(J) AMT DUE TVLR (G>H)

Department/Special District Budget Review Signature _____ Date _____ Pre-Travel Authorization Signature _____ Date _____ Signature of Traveler (*see certification above) _____ Date _____ Post-Travel Authorization Signature _____ Date _____		REIMBURSEMENT (check one): <input type="checkbox"/> TRAVELER <input type="checkbox"/> COUNTY EARNING CODE: _____ DATE: _____ PERSONAL CHECK #: _____
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